

# FISCAL YEAR 2006

## ANNUAL PERFORMANCE PLAN

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**Submitted to Congress  
February 7, 2005**

**NATIONAL ARCHIVES AND RECORDS ADMINISTRATION**

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## PREFACE

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The National Archives and Records Administration is a public trust on which our democracy depends. We enable people to inspect for themselves the record of what Government has done. We enable officials and agencies to review their actions and help citizens hold them accountable. We ensure continuing access to essential evidence that documents:

- the rights of American citizens,
- the actions of Federal officials,
- the national experience.

To ensure ready access to essential evidence, the National Archives and Records Administration (NARA) establishes policies and procedures for managing U.S. Government records. We assist and train Federal agencies in documenting their activities, administering records management programs, scheduling records, and retiring non-current records to regional records services facilities for cost-effective storage. We appraise, accession, arrange, describe, preserve, and make available to the public the historically valuable records of the three branches of Government. We manage a nationwide system of Presidential libraries, records centers, and regional archives. We administer the Information Security Oversight Office, which oversees the Government's security classification program, and make grants to non-Federal institutions to support historical documentation through the National Historical Publications and Records Commission. We publish the *Federal Register*, *Statutes at Large*, Government regulations, and Presidential and other public documents.

We serve a broad spectrum of American society. Genealogists and family historians; veterans and their authorized representatives; academics, scholars, historians, and business and occupational researchers; publication and broadcast journalists; the Congress, the Courts, the White House, and other public officials; Federal Government agencies and the individuals they serve; state and local government personnel; professional organizations and their members; supporters' groups, foundations, and donors of historical materials; students and teachers; and the general public all seek answers from the records we preserve.

To be effective, we must determine what evidence is essential for documentation, ensure that Government creates such evidence, and make it easy for users to access that evidence regardless of where it is, or where they are, for as long as needed. We also must find technologies, techniques, and partners worldwide that can help improve service and hold down costs, and we must help staff members continuously expand their capability to make the changes necessary to realize our goals.

### ***Our Mission:***

**NARA ENSURES, FOR THE CITIZEN AND THE PUBLIC SERVANT, FOR THE PRESIDENT AND THE CONGRESS AND THE COURTS, READY ACCESS TO ESSENTIAL EVIDENCE.**

### ***Our Strategic Goals:***

- *One:* Essential evidence is created, identified, appropriately scheduled, and managed for as long as needed.
- *Two:* Electronic records are controlled, preserved, and made accessible as long as needed.
- *Three:* Essential evidence is easy to access regardless of where it is or where users are for as long as needed.
- *Four:* All records are preserved in an appropriate environment for use as long as needed.
- *Five:* NARA strategically manages and aligns staff, technology, and processes to achieve our mission.

These goals and the strategies to achieve them are detailed in *Ready Access to Essential Evidence: The Strategic Plan of the National Archives and Records Administration, 1997-2008*, updated and reissued in September 2003. This annual performance plan is based on the goals, strategies, and long-range performance targets in our Strategic Plan, and builds on expected performance in FY 2005. It details the actions and outcomes that must occur in FY 2006 for us to move forward on meeting the goals and targets in our Strategic Plan. In addition to listing performance goals and measures for evaluating our performance, the plan describes the processes, skills, and technologies, and the human, capital, and informational resources needed to meet the year's performance goals. We received no aid from non-Federal parties in preparing this plan.

Following is a summary of the resources, by budget authority, we are requesting to meet our FY 2006 objectives. Our budget is linked to the performance goals in this plan.

|                                    |           |
|------------------------------------|-----------|
| <b>Operating Expenses</b>          | \$271,750 |
| <b>Electronic Records Archives</b> | \$35,914  |
| <b>Repairs/Restorations</b>        | \$6,182   |
| <b>Grants</b>                      | \$0       |
| <b>Total Budget Authority</b>      | \$313,846 |
| <br>                               |           |
| <b>Redemption of Debt</b>          | \$9,225   |
| <b>Total Appropriation</b>         | \$323,071 |
| <br>                               |           |
| <b>Total FTE</b>                   | 2,861     |

This is a high-level summary of our resource requirements. The numbers are linked to strategic goals in the pages that follow.

We continue using four mechanisms to measure actual performance: (1) periodic management reviews, (2) formal audits of operations, (3) expansion and refinement of our performance measurement system, and (4) systematic sampling of measurement system effectiveness. In FY 1999 we deployed our agency-wide Performance Measurement and Reporting System (PMRS). This system allows us to define and consistently measure data critical to the analysis of our performance objectives. Every year we integrate and expand the system further so that our strategic performance is measured using more of a balanced scorecard approach for tracking cycle times, quality, productivity, cost, and customer satisfaction for our products and services.

In our continuous effort to improve our performance measurement program, we just completed a two-year project to upgrade PMRS. We are taking advantage of web infrastructure to collect our performance data from the more than 70 organizational units that send data to PMRS from all over the country. We also are using newer, more robust, enterprise-level databases to store the data and extract reports, instead of the high-maintenance desktop databases previously used for data collection. This upgrade enables us to collect our performance data more consistently and more efficiently, and allows us to store much more data for use in analyzing trends.

We have also implemented a program management system (PROMT) to help us control cost and schedule on the Electronic Records Archives (ERA) program. PROMT integrates several commercial-off-the-shelf program management tools in a Windows-based web environment to help us schedule and link project activities, assign resources, collect and report costs, calculate earned value, and analyze impacts and risks to the ERA program. PROMT incorporates an EIA-748 compliant tool that meets OMB and GAO requirements for calculating earned value. We plan to expand the use of PROMT throughout NARA to help us improve our capabilities for managing and tracking performance on other projects.

We must succeed in reaching our goals because the National Archives and Records Administration is not an ordinary Federal agency. Our mission is to ensure that Government officials and the American public have ready access to essential evidence, and this mission puts us at the very heart of homeland security, continuity of government, public trust, and the national morale. Whether publishing the emergency *Federal Register*, protecting the critical records assets of Federal agencies nationwide, serving American's veterans, solving the challenge of saving electronic information across space *and time*, or displaying our nation's Charters of Freedom—the Declaration of Independence, the Constitution, and the Bill of Rights—to inspire the American public, NARA plays a critical role in keeping America safe, secure, and focused on our democratic ideals. This performance plan is our 2006 road map for meeting the great expectations of our nation.

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**STRATEGIC GOAL 1    ESSENTIAL EVIDENCE IS CREATED, IDENTIFIED, APPROPRIATELY SCHEDULED, AND MANAGED FOR AS LONG AS NEEDED.**

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- Long Range Performance Targets**
- 1.1. By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.
  - 1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.
  - 1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.

**FY 2001 Resources Available to Meet This Goal:**      \$18,050,000; 144 FTE \*

**FY 2002 Resources Available to Meet This Goal:**      \$19,921,000; 150 FTE \*

**FY 2003 Resources Available to Meet This Goal:**      \$16,368,000; 141 FTE

**FY 2004 Resources Available to Meet This Goal:**      \$17,607,000; 144 FTE

**FY 2005 Resources Available to Meet This Goal:**      \$17,926,000; 143 FTE

**FY 2006 Resources Requested to Meet This Goal:**    \$18,374,000; 143 FTE

*\*Resources include a portion of the dollars and FTE for Goal 5.*

| <b>FY 2006 Budget Linkage</b>  | <b>Records Services</b> | <b>Archives Related Services</b> | <b>Electronic Records Archives</b> | <b>Archives II Facility</b> | <b>Revolving Fund</b> | <b>Trust Fund</b> | <b>NHPRC</b> | <b>Repairs &amp; Restoration</b> |
|--|-------------------------|----------------------------------|------------------------------------|-----------------------------|-----------------------|-------------------|--------------|----------------------------------|
| 1.1 By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.                | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |
| 1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records. | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |
| 1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.   | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |

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**Long Range Performance Target 1.1.    By 2008, 95 percent of agencies view their records management program as a positive tool for asset and risk management.**

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- FY 05 Estimated Performance**
- Deliver the results promised on 95 percent of targeted assistance partnership projects.
  - Survey Federal agencies to establish baseline percentage of agencies that view their records management programs as a positive tool for asset and risk management.

- Increase by 10 percent the number of records management training participants who are taking a NARA records management course for the first time.
- Conduct a records management study.

#### **FY 06 Projected Performance**

- Deliver the results promised on 99 percent of targeted assistance partnership projects.
- Increase by 10 percent the number of agencies who view their records management programs as a positive tool for asset and risk management.
- Increase by 10 percent the number of records management training participants who are taking a NARA records management course for the first time.
- Conduct two records management studies.

**Outcome** Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

**Significance** We must protect records from the time of their creation to ensure their accessibility for as long as they are needed to meet the needs of Government agencies and the public. Moreover, better front-end records management will help agencies fulfill their legal responsibilities for recordkeeping and will result in more efficient and responsive records and information services, which will improve performance and save money for the agencies themselves and the Federal Government as a whole.

**Means and Strategies** Based on the strategies and tactics we put forth in our *Strategic Directions for Federal Records Management*, we are creating mutually supporting relationships with agencies that advance agency missions and effective records management. We are demonstrating that effective records management adds value to agency business processes, and our guidance, training, and assistance to agencies focuses on using records management as an important tool for supporting agency business processes.

In FY 2004, we developed criteria and internal procedures for records management studies with the objective of finding and validating best practices. We will use these studies to focus on cross-Government issues and to identify and analyze best practices and develop Government-wide recommendations and guidance. Studies will usually involve multiple agencies within a related line of business or function. In exceptional cases, there might be one agency whose records management practices could be replicated elsewhere for Government-wide benefit. We will complete a records management study of the headquarters offices of the United States Air Force in FY 2005. We expect to complete two more studies by the end of FY 2006.

Another way we help agencies is through targeted assistance. Targeted assistance means that we work together with agencies to solve specific records management problems. Since the program began in FY 1999, we have established 361 projects, completed 266 projects, and assisted 103 Federal agencies.

Through these partnerships, we have inventoried and scheduled at-risk records, trained agency personnel in records management, and assisted in the development of records management systems.

With Federal agency input and contractor support, we are revamping our records management training program. By making training and a variety of tools available over the Internet, we will be able to reach far more Federal agencies, at more locations nationwide, and reach a wider variety of people within the agencies than is possible with live classroom instruction. We also are developing a certification program for anyone giving technical assistance to agencies in records management. This program will leverage contractor and agency resources to provide assistance in the most critical areas while giving agencies assurance that the individuals they turn to for help have demonstrated their knowledge of Federal records management requirements.

**Key external factors** Federal agencies must implement their part of targeted assistance partnerships. Records management professionals must be self-motivated to attend training and complete certification.

### **Verification and Validation**

| <b><i>Performance Data</i></b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b>            | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|---------------------------|----------------|
| <i>Performance target for annual percent of targeted assistance partnership projects delivering the results promised.</i>  | 75             | 85             | 90             | 95             | 95                        | 99             |
| Annual percent of targeted assistance partnership projects delivering the results promised.  | 100            | 100            | 100            | 100            |                           |                |
| Annual number of targeted assistance partnership projects initiated.   | 63             | 77             | 58             | 13             |                           |                |
| Annual number of targeted assistance partnership projects completed.   | 58             | 76             | 67             | 26             |                           |                |
| Annual number of successful targeted assistance partnership projects completed.  | 58             | 76             | 67             | 26             |                           |                |
| Cumulative number of targeted assistance partnership projects established with Federal agencies.   | 213            | 290            | 348            | 361            |                           |                |
| Cumulative number of targeted assistance partnership projects completed with Federal agencies.   | 97             | 173            | 240            | 266            |                           |                |
| <i>Performance target for percent increase in the number of agencies who view their records management programs as a positive tool for asset and risk management.</i>        | —              | —              | —              | —              | <i>Establish baseline</i> | <i>10</i>      |
| Number of agencies who view their records management programs as a positive tool for asset and risk management.  | —              | —              | —              | —              |                           |                |
| <i>Performance target for percent increase in the number of records management training participants who are taking a NARA records management course for the first time.</i> | —              | —              | —              | —              | <i>10</i>                 | <i>10</i>      |
| Number of Federal agency staff receiving NARA training in records management and electronic records management.  | 2,506          | 3,746          | 3,392          | 2,997          |                           |                |
| Number of records management training participants who are taking a NARA records management course for the first time.   | —              | —              | —              | 297            |                           |                |
| Number of distance-learning participants who are taking a NARA records management course for the first time.   | —              | —              | —              | —              |                           |                |



## ***Milestones***

### **FY 2001**

- Draft report for study of the creation, maintenance, use and disposition of records in Federal agencies completed and optional task for additional analysis exercised.
- Analysis of Federal agency business processes and the records they generate completed for 11 agencies.

### **FY 2002**

- Hiring of senior records analysts positions for targeted assistance completed.
- Final report for study of the creation, maintenance, use, and disposition of records in Federal agencies completed.
- Analysis of 3 Federal agency business processes and the records they generate completed.
- Records scheduling, appraisal, and accessioning policies reviewed and revised, and a *Proposal for a Redesign of Federal Records Management* issued.

### **FY 2003**

- Policy review of NARA's record management policy and guidance completed.
- NARA's *Strategic Directions for Federal Records Management* released.

### **FY 2004**

- NARA's records management training program redesigned and distance-learning component established.
- Certification program for records management professionals established.
- Criteria and internal procedures for records management studies developed.

### **FY 2005 Estimated**

- Survey of Federal agencies to assess their view of their records management programs completed.
- Records management study of a Federal agency completed.

### **FY 2006 Projected**

- Two records management studies of Federal agencies completed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Targeted assistance partnership: A targeted assistance partnership is established with an underlying written agreement between NARA and a Federal agency to identify and agree upon a specific project or projects to improve the agency's records management practices. The agreement must take the form of a project plan, memorandum of understanding, or similar written documentation that performs the same function as a project plan. The agreement has mutually agreed upon criteria for successful completion of the targeted assistance project or projects. An agreement can include several projects, each with its own success criteria. For this performance target, we count targeted assistance projects. Asset and risk management: Determining the value of information as a business asset in terms of its primary and secondary uses in the business process; identifying potential risks to the availability and usefulness of the information; estimating the likelihood of such risks occurring; evaluating the consequences if the risk occurs; and managing the information based on that analysis.

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## **Long Range Performance Target 1.2. By 2008, 95 percent of approved capital asset plans have approved records schedules by the time those systems begin creating records.**

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### **FY 05 Estimated Performance**

- In coordination with the Office of Management and Budget (OMB), develop a multi-pronged approach to embedding records management requirements into the capital planning and acquisition processes.
- Conduct needs assessment of Government and IT industry for the development of select records management service components for the Federal Enterprise Architecture (FEA).

- Develop high-level requirements for candidate records management service components.
- Complete a cooperative records project for at least one FEA Business Reference Model SubFunction.

#### **FY 06 Projected Performance**

- With OMB's assistance, embed several records management requirements into the capital planning and acquisition process.
- Develop a Request for Information for industry to respond to requirements for development of one or more records management service components.
- Complete flexible schedule pilots with 5 Federal agencies and analyze results.
- Complete a cooperative records project for at least two FEA Business Reference Model SubFunctions.

**Outcome** Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

**Significance** Our nation's records are needed to document citizens' rights, actions for which Federal officials are responsible, and the historical experience of our nation. With more of these records being created electronically, we must address realistically a future in which most government recordkeeping will be electronic and develop practical solutions for dealing with electronic records. If we do not address this issue, our nation's records will be at risk of loss, deterioration, or destruction. In particular, we must protect records from the time of their very creation to ensure their accessibility for as long as they are needed to meet the needs of Government agencies and the public. Having approved records schedules by the time records systems begin to create records, and service components that identify records early in their lifecycle and assure that the appropriate information and attributes stay with records throughout their lifecycles, are important early steps in electronic records management.

**Means and Strategies** We will partner with Federal agencies and others to develop, adapt, or adopt products and practices that support good records management. Our experience shows that we are more effective in partnerships than working alone. Potential partners and sources will include standards organizations, other governments, and the private sector. We will provide leadership, in partnership with other key stakeholders, to focus agency attention on electronic records needs and to guide and support solutions to electronic records issues and problems. We will also support the development of automated tools that will help agencies manage Federal records.

OMB's Federal Enterprise Architecture Business Reference Model (BRM) describes the Federal Government by the business operations it performs. The BRM identifies 4 business areas that provide a high-level view of the operations the Federal Government performs. These 4 business areas comprise a total of 39 external and internal lines of business and 153 subfunctions. NARA is using this model to develop cooperative records management projects for agencies with common lines of business. These projects may produce common records schedules, standardized records management processes, or other

common products. The outcome of cooperative records projects across multiple agencies with common lines of business is that records management will support the business need, making it easier for agencies to create and manage the records they need to carry out their mission and collaborate with other agencies performing the same line of business.

Electronic records management is a critical component of e-Government. As the managing partner for one of the Administration's e-Government initiatives, NARA is collaborating with the Department of Defense, the Environmental Protection Agency, and other agencies to develop practical recordkeeping guidance and solutions for managing electronic records. In FY 2003 and FY 2004, NARA's Electronic Records Management (ERM) Initiative developed guidance for agencies implementing records management applications and added six new formats of permanent electronic records that agencies can transfer to NARA. In FY 2005, the ERM Initiative will continue to promote the transition to Government-wide electronic records management with additional guidance products. NARA will work with the Department of Defense (DoD) to extend the DoD 5015.2-STD to include interoperability specifications. Future transitional products will be developed as NARA issues policies to implement section 207(e) of the E-Government Act of 2002, working with partner agencies under the aegis of the Interagency Committee on Government Information. One of these products is an online toolkit for agencies, which will include references to ERM system requirements, checklists, citations to applicable standards, best practices, guidance, a revised general records schedule, flexible and front-end scheduling, promotion of new transfer formats, and targeted ERM assistance to Federal agencies.

The Records Management Service Components (RMSC) project is designed to make functional requirements for software service components that support management functions and activities available to Government, industry, and academia. In FY 2005, we will obtain agency stakeholder participation and develop and document requirements for the acquisition or development of records management service components. The documentation of requirements by participating agency stakeholders will be the basis for RMSC program activities in FY 2006. A Request for Information will be issued to industry to gauge interest in the procurement of RMSCs for certification into the Federal Enterprise Architecture (FEA) Component Repository. We will analyze that response and incorporate it into revisions to the RMSC program management plan.

We also are working with OMB to ensure that agencies consider records management requirements when planning IT systems. By scheduling records at the time they are created by IT systems, Federal agencies can manage their records more economically and effectively, thus meeting their business needs, ensuring that records are kept long enough to protect rights and assure accountability, and preserving records of archival value. In FY 2005 and FY 2006 we are exploring different ways to better embed records management requirements in the capital asset planning and acquisition processes to ensure that records are scheduled earlier rather than later in their lifecycle.

**Key external factors** The OMB and agencies across the Federal government must support using capital planning and acquisition processes to promote records management.

#### **Verification and Validation**

| <i>Performance Data</i>   | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|
| Number of Federal Enterprise Architecture Business Reference Model sub-functions.   | 137            | 153            |                |                |
| <i>Performance target for number of Federal Enterprise Architecture Business Reference Model functions covered by cooperative records projects.</i> | —              | —              | 1              | 2              |

|   |   |   |  |  |
|---|---|---|--|--|
| Number of Federal Enterprise Architecture Business Reference Model sub-functions covered by cooperative records projects. | 0 | 0 |  |  |
|---|---|---|--|--|

#### *Milestones*

|                          |   |
|--------------------------|---|
| <b>FY 2001</b>           | <ul style="list-style-type: none"> <li>Department of Defense software certification process endorsed.</li> </ul>  |
| <b>FY 2002</b>           | <ul style="list-style-type: none"> <li>ERM e-Gov initiative vision, goals, and objectives developed and confirmed by OMB. Detailed workplan and financing strategy developed.</li> <li>Transfer guidance for 1 electronic records format issued (e-mail with attachments).</li> </ul>   |
| <b>FY 2003</b>           | <ul style="list-style-type: none"> <li>Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).</li> <li>Version 2 of DOD 5015.2 standard endorsed.</li> <li>Records management application pilot in two NARA units deployed.</li> </ul>  |
| <b>FY 2004</b>           | <ul style="list-style-type: none"> <li>Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, web pages).</li> <li>Language for the FY 2006 Exhibit 300 guidance developed but not incorporated by OMB at this time.</li> <li>Records management application in two NARA units completed.</li> </ul>  |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"> <li>In coordination with OMB, a multi-pronged approach to embedding records management requirements into the capital planning and acquisition processes developed.</li> <li>Needs assessment of government and IT industry for the development of select records management service components for the Federal Enterprise Architecture conducted.</li> <li>High-level requirements for candidate records management service components (RMSC) developed.</li> <li>Cooperative records project for the “criminal investigations and surveillance” subfunction under the “law enforcement” line of business, in the “Services for Citizens” business area of the FEA BRM conducted.</li> </ul> |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"> <li>With OMB’s assistance, several records management requirements embedded into the capital planning and acquisition process.</li> <li>Request for Information (RFI) for industry to respond to requirements for development of one or more RMSC developed.</li> <li>RMSC program management plan based on analysis of industry response to RFI updated.</li> <li>Flexible schedule pilots with 5 Federal agencies completed and results analyzed.</li> <li>Cooperative records projects for at least two FEA BRM subfunctions completed.</li> </ul>  |

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. The Federal Enterprise Architecture Program Management Office Business Reference Model, version 2.0.

**Definitions** Capital asset planning: is part of the decision-making process for ensuring that IT investments integrate strategic planning, budgeting, procurement, and the management of IT in support of agency missions and business needs. Records management service component (RMSC): a piece of software that provides services that support the creation, management, transfer, and destruction of electronic records within a computing environment. Cooperative records project: a project that results in a model schedule, a standardized process, or other common product that standardizes records management for a specific FEA Business Reference Model subfunction across multiple agencies performing that subfunction. For example, agencies engaged in providing investigative services would be considered as one cooperative records project.

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**Long Range Performance Target 1.3. By 2008, 95 percent of customers are satisfied with NARA scheduling and appraisal services.**

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**FY 05 Estimated Performance**      • Process records schedule items within a median time of 200

calendar days or less.

- Prototype automated workflow and collaboration tools to support the redesigned scheduling and appraisal process.
- Increase by 10 percent the number of Federal agencies that are satisfied with NARA scheduling and appraisal services.

**FY 06 Projected Performance**

- Process records schedule items within a median time of 180 calendar days or less.
- Develop new online versions of records lifecycle transaction forms (e.g., SF-115, SF-135, SF-258).
- Increase by 10 percent the number of Federal agencies that are satisfied with NARA scheduling and appraisal services.

**Outcome** Federal agencies can economically and effectively create and manage records necessary to meet business needs. Records are kept long enough to protect rights and assure accountability. Records of archival value are preserved.

**Significance** We must make the records scheduling process more effective and efficient, and decrease the time it takes to get schedules approved. Taking a long time to process schedules delays action on the disposition of records and discourages agencies from submitting schedules, potentially putting essential evidence at risk.

**Means and Strategies** A key strategy outlined in our Strategic Plan is the redesign of the processes by which Federal records overall are identified, appraised, scheduled, and tracked while in agency custody. The aim of this redesign is to create mutually supporting relationships with agencies whereby NARA's records management program adds value to agency business processes, records are managed effectively for as long as needed, and records of continuing value are preserved and made available for future generations. Part of the strategy for carrying out this plan is to build automated tools for NARA and Federal agencies to support the inventorying, scheduling, and accessioning of Federal records. Such tools will make it easier for agencies to inventory their records and for NARA to review and approve records schedules and ensure that essential evidence is not lost.

In FY 2003 we undertook a Business Processing Reengineering effort for the records scheduling, appraisal, and accessioning process, and developed a high-level improved, future model of all records lifecycle business processes at NARA. Many of these processes will be built into the Electronic Records Archives (ERA). In the meantime, with contractor support, we are articulating key process business rules which need to be incorporated into the system to enable automation and support effective workflow. Because achievement of the "to-be" model will take several years, and will require the maturation of NARA's enterprise architecture, we are focusing early attention on the scheduling and appraisal process. In FY 2004, we analyzed stakeholder needs for automated workflow and collaboration tools to support the redesigned process. This analysis will inform the prototyping of these tools in FY 2005. Also, we will analyze the impact of NARA's redesigned processes on agencies, collect agency feedback, and modify NARA's processes to better respond to agency needs. In addition, the data required to support NARA's records lifecycle processes needs to be comprehensively reviewed to identify how data collected

via the major lifecycle transaction forms (current SF-115, SF-135, OF-11, and SF-258) can be better utilized. Once this analysis has been completed, in FY 2006, the content of revised forms can be finalized and approved, templates for forms created, and online versions of forms developed.

### **Verification and Validation**

| <b><i>Performance Data</i></b>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for median time for records schedule items completed (in calendar days).</i>                                    | 260            | 240            | 225            | 220            | 200            | 180            |
| Median time for records schedule items completed (in calendar days). **   | 237            | 470            | 155            | 253            |                |                |
| Median time for records schedule items completed (in calendar days), NARA only. **  | —              | 403            | 155            | 227            |                |                |
| Average age of schedule items at completion (in calendar days).   | 410            | 532            | 274            | 332            |                |                |
| Number of schedule items completed.   | 4,728          | 9,374          | 4,686          | 3,182          |                |                |
| Number of records schedule items completed within 120 calendar days of submission to NARA.  | 659            | 2,163          | 1,638          | 541            |                |                |
| Percent of records schedule items completed within 120 calendar days of submission to NARA.   | 14             | 21             | 34             | 16             |                |                |
| <i>Performance target for increase in percent of Federal agencies that are satisfied with NARA scheduling and appraisal services.</i> | —              | —              | —              | —              | 10             | 10             |
| Percent of Federal agencies that are satisfied with NARA scheduling and appraisal services  | —              | —              | —              | 57             |                |                |
| Percent of records schedule items submitted and approved electronically.  | —              | —              | —              | —              |                |                |

*\*\*The metric for median schedule processing time measures all processing time, including the amount of time it takes other agencies to respond. We provide a breakout of “NARA-only” time to give a comparison of how much of the total processing time occurs within NARA versus outside NARA.*

### ***Milestones***

#### **FY 2003**

- “To-be” model for the redesigned scheduling, appraisal, and accessioning process developed.

#### **FY 2004**

- Detailed workflows for scheduling and appraisal; processing of Federal electronic records; transfer of records to Federal Records Centers; and carrying out disposition of records by Federal Records Centers developed.
- Concept of operations for automated workflow and collaboration tools to support the redesigned scheduling and appraisal process developed.
- Federal agencies surveyed to determine baseline satisfaction with NARA scheduling and appraisal services.

#### **FY 2005 Estimated**

- Automated workflow and collaboration tools to support the redesigned scheduling and appraisal process prototyped.
- Impact of NARA's redesigned processes on agencies analyzed, agency feedback collected, and NARA's processes modified to better respond to agency needs.

#### **FY 2006 Projected**

- Online versions of records lifecycle transaction forms developed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Records schedule: a document, having legally binding authority when approved by NARA, that provides mandatory instructions (i.e., disposition authority) for what to do with records no longer needed for current business; Schedule item: records subject to a specific disposition authority that appear on a records schedule.

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**STRATEGIC GOAL 2 ELECTRONIC RECORDS ARE CONTROLLED, PRESERVED, AND MADE ACCESSIBLE AS LONG AS NEEDED.**

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- Long Range Performance Targets**
- 2.1. By 2008, NARA's Records Center Program accepts and services electronic records.
  - 2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.
  - 2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.
  - 2.4. By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.
  - 2.5. By 2008, the per-megabyte cost managing archival electronic records through the Electronic Records Archives decreases each year.

**FY 2003 Resources Available to Meet This Goal:** \$20,105,000; 67 FTE  
**FY 2004 Resources Available to Meet This Goal:** \$46,377,000; 83 FTE  
**FY 2005 Resources Available to Meet This Goal:** \$48,048,000; 88 FTE  
**FY 2006 Resources Requested to Meet This Goal:** \$49,043,000; 88 FTE

| <b>FY 2006 Budget Linkage</b>  | <b>Records Services</b> | <b>Archives Related Services</b> | <b>Electronic Records Archives</b> | <b>Archives II Facility</b> | <b>Revolving Fund</b> | <b>Trust Fund</b> | <b>NHPRC</b> | <b>Repairs &amp; Restoration</b> |
|--|-------------------------|----------------------------------|------------------------------------|-----------------------------|-----------------------|-------------------|--------------|----------------------------------|
| 2.1. By 2008, NARA's Records Center Program accepts and services electronic records.   |                         |                                  | ✓                                  |                             | ✓                     |                   |              |                                  |
| 2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.                               | ✓                       |                                  | ✓                                  |                             |                       |                   |              |                                  |
| 2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.                                       | ✓                       |                                  | ✓                                  |                             |                       |                   |              |                                  |
| 2.4. By 2008, the median time from the transfer or archival electronic records to NARA until they are available for access is 35 days or less. | ✓                       |                                  | ✓                                  |                             |                       |                   |              |                                  |
| 2.5. By 2008, the per megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.       |                         |                                  | ✓                                  |                             |                       |                   |              |                                  |

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**Long Range Performance Target 2.1. By 2008, NARA's Records Center Program accepts and services electronic records.**

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**FY 05 Estimated Performance**

- Enhance remote servicing capability for electronic Official Military Personnel Files for Army.
- Establish detailed requirements for the eventual migration of electronic Official Military Personnel Files to the Electronic Records Archives system.
- Develop Record Center Program business model for electronic records.
- Complete pilot program to store backup and inactive copies of agency electronic media in selected records center locations.
- Complete a pilot assessment for converting agency records into digital formats on electronic record media.
- Develop concept of operations and functional requirements for a Records Center Program Operations System.
- Award contract for building a Records Center Program Operations System.

**FY 06 Projected Performance**

- Offer remote servicing capability for electronic Official Military Personnel Files to other military service departments.
- Complete a study of providing e-media storage services and expanding services to additional centers.
- Assess providing indexing and delivery of scanned records services through a pilot digital conversion program.
- Migrate legacy applications and data to the Records Center Program Operations System.

**Outcome** Federal agencies can economically and effectively create and manage electronic records necessary to meet business needs, and electronic records of archival value are preserved.

**Significance** The NARA Records Center Program plays a vital role in the lifecycle of Federal records. The program helps agencies manage the transfer, storage, and servicing of their non-current records and works closely with NARA's records management program to ensure that essential evidence is efficiently and appropriately managed for as long as needed. As more and more Federal records are created and managed in electronic formats, NARA needs to respond by providing economical and effective electronic records services at our records centers.



**Means and Strategies** Since FY 2000, NARA's Records Center Program (RCP) has been fully reimbursable, which allows us to be more flexible in responding to agency records needs and requires us to meet those needs in a cost-effective and efficient way. Our ability to provide our records center customers with responsive services for electronic records is closely tied to our Electronic Records Archives (ERA) program. Until ERA is ready and can provide complete online servicing, we will test the delivery of new offline services for electronic records, including digitizing records into electronic formats, storage of agencies' electronic records media, and remote servicing of electronic records such as electronic Official Military Personnel Files (OMPF). As experience is gained through pilot services, the RCP will expand those services to more complex or advanced electronic records-related activities, such as data migration and vital records services.

The RCP also needs to replace legacy systems for inventory and space management with modern systems that provide enhanced functionality at a reasonable cost. All of the current RCP applications are mainframe-based and written in COBOL and have been operational for 15-25 years. Most importantly, these systems no longer support the new RCP reimbursable financial environment. An RCP Operations System (RCPOS) will provide robust inventory and space management for more than 23 million cubic feet of records; web-based, real-time support for all business transactions such as the recall of records by Federal agencies; a management information system to measure all facets of RCP performance; and easy to use data sharing capabilities with the RCP customers. NARA's RCP and ERA, when available, will work in harmony to deliver a complementary suite of services to agencies for their temporary long-term electronic records. RCPOS will provide the asset management and billing functionality for those services.

**Key external factors** The Records Center Program operates in a competitive business environment, which allows Federal agencies to choose their records center services provider. Testing and enhancing remote servicing capability for electronic OMPFs is contingent on agreements with military service departments for NARA to access their systems.

### **Verification and Validation**

#### ***Milestones***

- |                          |   |
|--------------------------|---|
| <b>FY 2004</b>           | <ul style="list-style-type: none"><li>• Pilot for remote servicing capability for electronic OMPFs for Army established and tested.</li><li>• Two sites to pilot electronic records media in NARA Federal Records Centers identified.</li></ul>   |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"><li>• Remote servicing capability for electronic Official Military Personnel Files for Army enhanced.</li><li>• Detailed requirements for the eventual migration of electronic Official Military Personnel Files to the Electronic Records Archives system established.</li><li>• Record Center Program business model for electronic records developed.</li><li>• Pilot program to store backup and inactive copies of agency electronic media in selected records center locations completed.</li><li>• Pilot assessment for converting agency records into digital formats on electronic record media completed.</li><li>• Concept of operations and functional requirements for a Records Center Program Operations System developed.</li><li>• Contract for building a Records Center Program Operations System awarded.</li></ul> |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"><li>• Remote servicing capability for electronic Official Military Personnel Files offered to four military service departments.</li><li>• Study of providing e-media storage services and expanding to additional centers completed.</li><li>• Providing indexing and delivery of scanned records services through a pilot digital</li></ul>   |

- conversion program assessed.
- Legacy applications and data migrated to the Records Center Program Operations System.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 2.2. By 2008, 80 percent of scheduled archival electronic records are accessioned by NARA at the scheduled time.**

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- |                                    |  |
|------------------------------------|--|
| <b>FY 05 Estimated Performance</b> | <ul style="list-style-type: none"> <li>• Establish business rules and priorities for putting legacy records control schedules into a pilot repository, and develop a plan for doing the work.</li> <li>• Pre-accession two transfers of electronic records.</li> <li>• Continue to identify and schedule Federal agency systems that generate electronic records.</li> </ul>                           |
| <b>FY 06 Projected Performance</b> | <ul style="list-style-type: none"> <li>• Populate pilot repository with legacy records control schedules so that by FY 2007 some schedules will be in the first increment of ERA.</li> <li>• Pre-accession two more transfers of electronic records.</li> <li>• Identify and schedule 10 percent more Federal agency systems that generate electronic records than we scheduled in FY 2005.</li> </ul> |

**Outcome** Electronic records of archival value are preserved for future generations.

**Significance** Technology and the movement of the computing environment to Federal workers' desktops have led to a decentralized records management environment. While this enables workers to create and manage their own records (such as e-mail), it has also resulted in a proliferation of both electronic records formats and locations where records are created and stored. In this new environment, traditional paper-based records management control techniques and procedures are often no longer appropriate, resulting in a Federal records management approach that is not well integrated into agency business process, systems development, information technology infrastructure, and knowledge management. This undermines the authenticity, reliability, integrity, and usability of Federal records and information essential for Government business, particularly electronic Government, and public use. We must guarantee the continuing accessibility of the electronic records of all three branches of our Government.

**Means and Strategies** The Electronic Records Archives (ERA) will provide a vehicle for implementing the records management improvements that result from the NARA's Records Lifecycle Business Process Reengineering, the Electronic Records Management (ERM) e-Government Initiative, and NARA's Records Management Initiatives. We will improve the development and implementation of records disposition schedules by automating and improving the quality of interactions between NARA and other agencies and the workflow within NARA. We will reduce cycle time for NARA's review and approval of records disposition authorities requested by other agencies and increase the number of acceptable formats for transfer of electronic records to NARA.

The first increment of the ERA system will enable NARA to accession, preserve, and provide access to electronic records in the additional digital formats for which transfer standards were developed in the ERM Initiative. These include e-mail with attachments, scanned images, PDF files, still digital photography, Geographic Information Systems, and web pages. In the long term, ERA will allow NARA to accession, preserve, and provide access to electronic records in any format.

To assist us in setting priorities for helping Federal agencies deal with records management, we developed a set of criteria, procedures, and a handbook for identifying the functional areas within the Government that contain the greatest records management challenges. These areas will be our highest priorities for allocating NARA records management resources. The criteria used focuses our attention on records that are at greatest risk of not being managed effectively, records that document citizens' rights and Government accountability, and records of archival value. Through Federal agency surveys, NARA is identifying electronic systems in Federal agencies that are generating electronic records, and we are working to get more of those systems' records scheduled. In FY 2005 and FY 2006 we will continue collecting information from Federal agencies to identify more systems and learn more about the electronic records challenges Federal agencies face. In addition, by pre-accessioning electronic records into NARA, we will have more accurate descriptions, earlier transfers, and better preservation, while avoiding the loss of records that may occur with lengthy agency retention.

Early in FY 2005, at the end of the last Presidential term, we took a "snapshot" of Federal Government web sites. These snapshots will help future researchers understand how today's Federal Government uses the Internet to provide services and share information with the public.

**Key external factors** Federal agencies must schedule their electronic records.

| <b>Performance Data</b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of archival electronic records accessioned by NARA at the scheduled time.</i> | —              | —              | —              | —              | 20             | 40             |
| Number of electronic files transferred in one of the new transfer formats                                       | —              | —              | —              | 100            |                |                |
| Size of accessioning backlog (in millions of logical data records)  | —              | —              | —              | 529            |                |                |
| Number of electronic records transferred (in thousands of files)*   | 2.1            | 7.8            | 68.3           | 432.9          |                |                |

*\*Numbers for 2001-2004 represent the number of files transferred to NARA. The number of electronic records transferred, in logical data records, which is the preferred unit of measure, was not available until the Accession Management Information System upgrade was completed in 2004. We will continue to show the number of files for several years so that trends can be observed.*

#### **Milestones**

- FY 2001**
  - 3 terabytes of data from Federal agency web sites "snapshot" collected and preserved.
- FY 2002**
  - Transfer guidance for 1 electronic records format issued (e-mail with attachments).
- FY 2003**
  - Transfer guidance for 2 more electronic record formats issued (scanned images of textual records and PDF).
  - Transfer standards for permanent electronic records in the following formats: e-mail with attachments, scanned images of permanent textual records, and Portable Document Format established and issued.

- FY 2004**
- Transfer guidance for 3 more electronic records formats issued (digital photography, geographical information systems, and web pages).
  - Select Federal agencies surveyed to identify electronic systems that generate electronic records, and priorities for scheduling these records developed.
- FY 2005 Estimated**
- Business rules and priorities for putting legacy records control schedules into a pilot repository established, and a plan for the doing the work developed.
  - Two transfers of electronic records pre-accessioned.
  - Federal agency systems that generate electronic records identified and scheduled.
  - Web snapshots of Federal Government web sites at end of last Presidential term collected and preserved.
- FY 2006 Projected**
- Pilot repository with legacy records control schedules populated so that by FY 2007 some schedules will be in the first increment of ERA.
  - Two more transfers of electronic records pre-accessioned.
  - 10 percent more Federal agency systems that generate electronic records identified and scheduled than in FY 2005.

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Accessioned: Legal custody of archival materials is transferred to NARA.

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**Long Range Performance Target 2.3. By 2008, 80 percent of archival electronic records are managed at the appropriate level of service.**

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- FY 05 Estimated Performance**
- Establish criteria for levels of service for archival electronic records.
  - Identify and respond to results of online survey to improve customer usability of Access to Archival Databases (AAD) system.
  - Add State Department cables and digital photographs to AAD.
  - Improve AAD's customer satisfaction score to 65 on customer survey tool.
- FY 06 Projected Performance**
- Develop pilot preservation and access plans for select electronic records using criteria established for levels of service.
  - Improve AAD's customer satisfaction score to 73 on customer survey tool.

**Outcome** Electronic records of archival value are effectively preserved for future generations.

**Significance** We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and

more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

**Means and Strategies** To meet an immediate need to provide online access to high-volume and high-demand electronic records from the Department of State, the Executive Office of the President, and other agencies, NARA launched the Access to Archival Databases (AAD) project. AAD made its debut to the public in FY 2003, and we are continuing to increase the number of records available to the public. This function will eventually be provided by ERA.

During FY 2004 we conducted an online survey, using the American Customer Satisfaction Index, that is helping us better understand our online customers' needs. In addition, we contracted with two independent experts to perform laboratory-based usability testing and provide an assessment on the extent to which AAD met industry standards for a user-friendly web site. All of these sources pointed to the same conclusion—we need to make significant revisions in the AAD user interface. NARA contracted with a web designer to help us implement many of the recommendations that came out of the reports. NARA expects to launch the revised AAD user interface in FY 2005.

In the long term, ERA will allow NARA to preserve and maintain at the appropriate level of service any electronic record in any format. NARA plans to categorize holdings into three levels of service—basic, medium, and persistent—based on the technological characteristics of the records, the needs of the records' originators, laws and regulations requiring differing levels of control, expected customer demands or interests, and NARA's business strategies and priorities. The technology and access capabilities will differ in the system based on the service level. The ERA system will enable the National Archives and Presidential libraries to preserve permanent holdings, and the Records Center Program to provide storage and access services to other agencies. To prepare for these capabilities, in FY 2005, we will establish criteria for levels of service for select electronic records, and in FY 2006, we will develop preservation and access plans for select electronic records, using the levels of service criteria. These preservation and access plans will indicate the activities to be undertaken in preserving specific documentary material or sets of material and how NARA will provide access to them.

**Key external factors** The results of existing and future research and development into electronic records preservation may change the requirements for an electronic records preservation system.

### **Verification and Validation**

| <i>Performance Data</i>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent increase in number of archival electronic holdings accessible online</i> | —              | —              | —              | 50             | 20             | 20             |
| Percent increase in number of archival electronic holdings accessible online.                              | —              | —              | —              | 51             |                |                |
| Number of archival electronic holdings accessible online (cumulative logical data records in millions)     | 0              | 0              | 47             | 71             |                |                |
| Number of archival electronic holdings (cumulative logical data records in millions)                       | —              | 3,714          | 4,743          | 5,629          |                |                |
| Percent of electronic records available online   | 0              | 0              | 1              | 1.4            |                |                |
| Number of AAD users (in thousands of visits)   | —              | —              | 489            | 551            |                |                |

### ***Milestones***

#### **FY 2001**

- Analysis of requirements and ability to copy raster and vector files from geographic information systems completed. Capability to preserve raster and vector files from

|                          |   |
|--------------------------|---|
|                          | <ul style="list-style-type: none"> <li>geographic information systems achieved.</li> <li>Online access to select accessioned data files achieved.</li> </ul>  |
| <b>FY 2002</b>           | <ul style="list-style-type: none"> <li>AAD pilot version made operational.</li> </ul>   |
| <b>FY 2003</b>           | <ul style="list-style-type: none"> <li>AAD production version made operational, with 344 file units available to customers online.</li> </ul>   |
| <b>FY 2004</b>           | <ul style="list-style-type: none"> <li>Online survey of customer satisfaction with online access to electronic records through Access to Archival Databases system conducted.</li> </ul>  |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"> <li>Criteria for levels of service for archival electronic records established.</li> <li>Results of online survey to improve customer usability of Access to Archival Databases system identified and responded to.</li> <li>State Department cables and digital photographs added to AAD.</li> <li>AAD's customer satisfaction score to 65 on customer survey tool improved.</li> </ul> |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"> <li>Pilot preservation and access plans for select electronic records developed using criteria established for levels of service.</li> <li>Additional electronic records added to AAD, depending on outcome of FY 2005 cost effectiveness study.</li> <li>AAD's customer satisfaction score to 73 on customer survey tool improved.</li> </ul>   |

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** File units: a data file of electronic records, most often in the form of a database. Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database. Visits: One person using our web site is counted as one "visit." It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as 1 visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.

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**Long Range Performance Target 2.4. By 2008, the median time from the transfer of archival electronic records to NARA until they are available for access is 35 days or less.**

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|                                    |   |
|------------------------------------|---|
| <b>FY 05 Estimated Performance</b> | <ul style="list-style-type: none"> <li>Process transfers of archival electronic records within a median time of 250 calendar days or less.</li> </ul> |
| <b>FY 06 Projected Performance</b> | <ul style="list-style-type: none"> <li>Process transfers of archival electronic records within a median time of 220 calendar days or less.</li> </ul> |

**Outcome** Electronic records of archival value are available promptly for use.

**Significance** We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes,

providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

**Means and Strategies** The growth in the volume of electronic records is enormous. At the end of the last Administration, the White House transferred several terabytes of electronic records to NARA for storage and preservation. During the next two years, the Census Bureau will be transferring electronic images of up to 600 million pages of information, comprising more than 48 terabytes of data, from the 2000 Census. Digital Military Personnel Files represent estimated transfers of a billion files over 10 years. The National Commission on Terrorist Attacks Upon the United States and the Columbia Shuttle Accident Investigation Board will transfer voluminous records to the National Archives during the next year. NARA expects to receive 32.5 terabytes and 51 terabytes of electronic records in 2005 and 2006, respectively. The transfer volume projected for 2007 is more than a thousand times greater than all the electronic record volume NARA has processed since the first such transfer in 1971. After surveying Federal agencies, we have concluded that the rate of growth of electronic records in the Federal Government is about 50 percent per year. At that rate, by the time we have a fully functional Electronic Records Archives (ERA), even greater quantities of information will have been transferred to NARA by Federal agencies.

Our ability to promptly process archival electronic records will be significantly enhanced by the creation of an Electronic Records Archives (ERA). While NARA's existing capacity to process electronic records is higher than it has ever been, it still lags behind what we anticipate agencies will be sending to NARA over the next several years. NARA's existing systems and staff are able to copy about 385 gigabytes of data per year. Until the ERA system is operational, we will extend and expand our existing systems to attempt to keep up.

In FY 2004 we added electronic tape autoloaders and modified software to increase the capacity and speed of initial preservation (i.e., making an exact copy onto archivally acceptable media) of records through our existing Archival Preservation System (APS). We further integrated digital linear tape into the archival tape copying process by purchasing software that will analyze and certify new digital linear tapes as free of errors and defects. Finally, we contracted for a study of the existing processing capabilities and capacities of both APS and the Archival Electronic Records Inspection and Control System (AERIC). The study will be completed in FY 2005. During FY 2005 and FY 2006 we will purchase and implement the new technologies needed to support the copying and verifying of larger volumes of diversely formatted records. However, even with these steps, we expect that our ability to keep up with the volume of archival electronic records transferred to NARA in the near future will be overwhelmed.

**Key external factors** The results of existing and future research and development into electronic records preservation may change the requirements for an electronic records preservation system.

#### **Verification and Validation**

| <i>Performance Data</i>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for median time to make archival electronic accessions available for access (in calendar days).</i>    | —              | —              | —              | 250            | 250            | 220            |
| Median time (in calendar days) from the transfer of archival electronic records to NARA until they are available for access. | —              | —              | 450            | 736            |                |                |
| Number of electronic records transferred (in thousands of files)*  | 2.1            | 6.8            | 68.3           | 432.9          |                |                |

| <b>Performance Data</b>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Number of electronic records transferred (in millions of logical data records) | —              | —              | —              | 519            |                |                |
| Cost per electronic record transferred.  | —              | —              | —              | \$0.01         |                |                |

*\*Figures represent the number of files transferred to NARA. The number of electronic records transferred, in logical data records, which is the preferred unit of measure, was not available until the Accession Management Information System upgrade was completed in FY 2004. We will continue to show the number of files for several years so that trends can be observed.*

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|--------------------------|--|
| <b>FY 2001</b>           | <ul style="list-style-type: none"> <li>• Transfer of records via Files Transfer Protocol (FTP) completed.</li> <li>• Ability of the current Archival Preservation System to copy digital images and raster and vector files completed.</li> </ul>  |
| <b>FY 2002</b>           | <ul style="list-style-type: none"> <li>• Study of the archival properties of high-density media and conclusion that the Digital Linear Tape was an appropriate medium for the storage of permanent electronic records completed.</li> <li>• Change to Code of Federal Regulations making Digital Linear Tape and Files Transfer Protocol appropriate media for transferring electronic records to NARA completed.</li> </ul>   |
| <b>FY 2003</b>           | <ul style="list-style-type: none"> <li>• Accession Management Information System redesigned.</li> <li>• Version 6.0 of the current Archival Preservation System application developed and installed.</li> </ul>  |
| <b>FY 2004</b>           | <ul style="list-style-type: none"> <li>• New Accession Management Information System installed.</li> <li>• Certification software for new Digital Linear Tapes on the current Accession Preservation System installed.</li> <li>• Copying capacity of the current Accession Preservation System expanded.</li> <li>• Technologies that can support copying and verifying electronic records in the following formats studied: e-mail with attachments, scanned images, Portable Document Format, digital images, World Wide Web files, and Geographic Information System files.</li> </ul> |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"> <li>• New technologies to support copying and verifying the electronic records in the six transfer formats purchased.</li> </ul>  |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"> <li>• New technologies to support copying and verifying the electronic records in the six transfer formats implemented.</li> </ul>  |

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Gigabyte: (1) a gigabyte is a measure of computer data storage capacity. A gigabyte is 2 to the 30<sup>th</sup> power, or 1,073,741,824 in decimal notation. Terabyte: A terabyte is a measure of computer data storage capacity. It is 2 to the 40<sup>th</sup> power, or approximately a thousand gigabytes. File units: a data file of electronic records, most often in the form of a database. This is not the preferred method for counting electronic records. Logical data records is preferred but was not available before the upgraded Accession Management Information System was implemented in FY 2004. Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database.

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**Long Range Performance Target 2.5. By 2008, the per-megabyte cost of managing archival electronic records through the Electronic Records Archives decreases each year.**

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- |                                    |  |
|------------------------------------|--|
| <b>FY 05 Estimated Performance</b> | <ul style="list-style-type: none"> <li>• Review system requirements with competing vendors.</li> <li>• Conduct System Design Review with competing vendors.</li> </ul> |
|------------------------------------|--|



- Complete System Analysis and Design.
- Select development contractor for the ERA system.

**FY 06 Projected Performance**

- Complete Preliminary Design Review for Increment 1, Release 1 of the ERA system.
- Complete Critical Design Review for Increment 1, Release 1 of the ERA system.

**Outcome** Electronic records of archival value are economically preserved.

**Significance** We must guarantee the continuing accessibility of the electronic records of all three branches of our Government. If we cannot do this, citizens, corporations, and the Government will lose the essential evidence necessary to document their legal rights; the Government will suffer loss of both accountability and credibility; and as a nation our ability to learn about and understand our national experience will be diminished substantially. Moreover, as the business of government shifts more and more to electronic government and reliance on information technology, activities such as collecting taxes, providing veteran's benefits, and protecting our environment will suffer in both efficiency and effectiveness unless agencies are able to create, maintain, and readily access reliable electronic records.

**Means and Strategies** Through the Electronic Records Archives (ERA), we are creating a digital National Archives that will make permanently valuable Government records available to anyone, at any time, and in any place, for as long as needed.

This ERA system addresses a fundamental requirement of electronic government: to be able to keep and transmit reliable and authentic electronic records independently of time, place, the vagaries of the market place, the state of the art of information technology, or the peculiarities of proprietary formats or stovepipe applications. NARA will develop a comprehensive, systematic, and dynamic means for preserving virtually any kind of electronic record, free from dependence on any specific hardware or software. The ERA system, when operational, will make it possible for Federal agencies to transfer records of any type or format to NARA. More importantly, ERA will help citizens to find records they want and make it easy for NARA to deliver those records in formats suited to citizens' needs.

ERA will be the primary means through which NARA implements its target enterprise architecture. It will include practically all of NARA's processes for lifecycle management of records; therefore, it will be the catalyst for conversion to the target architecture of the legacy applications NARA currently uses to support these processes. This conversion will include process improvement as well as reengineering the architecture of these applications.

We also will continue collaborative research into issues related to the lifecycle management of electronic records that are beyond state-of-the-art information technology or state-of-the-science computer, information, or archival sciences. Research and exploratory development activities are well aligned with the work of the Interagency Working Group on Information Technology's Research and Development program and the President's Management Council's vision of Government wide-electronic records management in support of e-Government. Specific direction to agencies encourages research to enable preservation and utility of electronic information archives and creation of digital archives of core knowledge for research and learning, as well as being able to produce, collect, store, communicate, and

share high amounts of electronic information. We will continue to rely to a large extent on established R&D management capabilities in partner agencies.

NARA has laid out an incremental acquisition strategy for ERA that will enable us to ensure that significant milestones are achieved before commitments are made for subsequent work. In FY 2004 we awarded a competitive design contract of the ERA system to two vendors. After selecting the best design, we will exercise an option for development and deployment of the first increment of the system. NARA will also contract for technical services to support the operation of the deployed system.

We expect that the first increment will implement a reengineered end-to-end process for lifecycle management of electronic records, add the capability for handling digital Official Military Personnel Files to the reengineered processes of the National Personnel Records Center, and also implement the results of our business process reengineering of records scheduling and appraisal for all types of records. For electronic records, the first increment of ERA will focus on ensuring the survival of “at-risk” electronic records, namely the vast majority of all existing electronic records that are in obsolete formats, and improving efficiency of core processes.

**Key external factors** The results of existing and future research and development into electronic records preservation may change the requirements and costs for an electronic records preservation system.

#### **Verification and Validation**

| <i>Performance Data</i>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target of percent of NARA’s electronic holdings stabilized in preparation for their transfer to the Electronic Records Archives.</i> | 40             | 60             | 65             | 99             | 80             | 70             |
| Percent of NARA’s electronic holdings are stabilized in preparation for their transfer to the Electronic Records Archives.                          | 97             | 98             | 97             | 93             |                |                |
| Number of logical data records in NARA’s custody (in millions).   | 2,345          | 3,714          | 4,725          | 5,629          |                |                |
| Number logical data records stabilized (in millions).   | 2,272          | 3,642          | 4,595          | 5,252          |                |                |
| Percent of Presidential logical data records stabilized.  | 99             | 49             | 49             | 62             |                |                |
| Number of Presidential logical data records (in millions).  | 2.2            | 35.3           | 35.3           | 35.3           |                |                |
| Number of Presidential logical data records stabilized (in millions).   | 2.2            | 17.3           | 17.3           | 22.1           |                |                |
| Per megabyte cost for stabilizing archival electronic records.  | —              | —              | \$4.50         | \$4.77         |                |                |

#### ***Milestones***

- |                |  |
|----------------|--|
| <b>FY 2001</b> | <ul style="list-style-type: none"> <li>• GAO risk assessment of ERA project performed and Program Management Office organization proposal developed.</li> </ul>  |
| <b>FY 2002</b> | <ul style="list-style-type: none"> <li>• Electronic Records Archives Analysis of Alternatives, Requirements, and Business Case completed.</li> <li>• ERA Project Management Office established.</li> </ul>       |
| <b>FY 2003</b> | <ul style="list-style-type: none"> <li>• Electronic Records Archives Analysis of Alternatives, Requirements, and Business Case updated.</li> <li>• Draft Request for Proposals for ERA design issued.</li> </ul> |
| <b>FY 2004</b> | <ul style="list-style-type: none"> <li>• Request for Proposals for ERA design released December 5, 2003.</li> </ul>  |

- ERA design contract awarded August 3, 2004.
- Installation of an earned value management system for ERA performance measurement completed.

**FY 2005 Estimated**

- System requirements with competing vendors reviewed.
- System Design Review with competing vendors conducted.
- System Analysis and Design completed.
- ERA domain model completed.
- Development contractor for the ERA system selected.

**FY 2006 Projected**

- Record and aggregate templates for ERA Increment 1 developed.
- Preliminary Design Review for Increment 1, Release 1 of the ERA system completed.
- Critical Design Review for Increment 1, Release 1 of the ERA system completed.

**Data source** The Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Preserved: (1) the physical file containing one or more logical data records has been identified and its location, format, and internal structure(s) specified; (2) logical data records within the file are physically readable and retrievable; (3) the media, the physical files written on them, and the logical data records they contain are managed to ensure continuing accessibility; and (4) an audit trail is maintained to document record integrity; Logical data record: a set of data processed as a unit by a computer system or application independently of its physical environment. Examples: a word processing document; a spreadsheet; an e-mail message; each row in each table of a relational database or each row in an independent logical file database. Megabyte: a megabyte is a measure of computer data storage capacity. A megabyte is 2 to the 20<sup>th</sup> power, or 1,048,576 bytes in decimal notation.

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**STRATEGIC GOAL 3    ESSENTIAL EVIDENCE IS EASY TO ACCESS REGARDLESS OF WHERE IT IS  
OR WHERE USERS ARE FOR AS LONG AS NEEDED.**

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**Long Range Performance Targets**

- 3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.
- 3.2. By 2007, 70 percent of NARA services are available online.
- 3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.
- 3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.
- 3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.
- 3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.
- 3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

**FY 2001 Resources Available to Meet This Goal:**      \$120,046,000; 2,159 FTE \*

**FY 2002 Resources Available to Meet This Goal:**      \$134,208,000; 2,263 FTE \*

**FY 2003 Resources Available to Meet This Goal:**      \$132,060,000; 2,298 FTE

**FY 2004 Resources Available to Meet This Goal:**      \$147,271,000; 2,313 FTE

**FY 2005 Resources Available to Meet This Goal:**      \$144,843,000; 2,357 FTE

**FY 2006 Resources Requested to Meet This Goal:**    \$144,067,000; 2,346 FTE

*\* Resources include a portion of the dollars and FTE for Goal 5.*

| <b>FY 2006 Budget Linkage</b>  | <b>Records<br/>Services</b> | <b>Archives<br/>Related<br/>Services</b> | <b>Electronic<br/>Records<br/>Archives</b> | <b>Archives<br/>II<br/>Facility</b> | <b>Revolving<br/>Fund</b> | <b>Trust<br/>Fund</b> | <b>NHPRC</b> | <b>Repairs &amp;<br/>Restoration</b> |
|--|-----------------------------|--|--|-------------------------------------|---------------------------|-----------------------|--------------|--------------------------------------|
| 3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards. | ✓                           | ✓  |  |                                     | ✓                         | ✓                     |              |                                      |
| 3.2. By 2007, 70 percent of NARA services are available online.  | ✓                           |  |  |                                     | ✓                         |                       |              |                                      |

| <b>FY 2006 Budget Linkage</b>   | <b>Records Services</b> | <b>Archives Related Services</b> | <b>Electronic Records Archives</b> | <b>Archives II Facility</b> | <b>Revolving Fund</b> | <b>Trust Fund</b> | <b>NHPRC</b> | <b>Repairs &amp; Restoration</b> |
|---|-------------------------|----------------------------------|------------------------------------|-----------------------------|-----------------------|-------------------|--------------|----------------------------------|
| 3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.  | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |
| 3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts. | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |
| 3.5. By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.   | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |
| 3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records for a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.      | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |
| 3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.  |                         | ✓                                |                                    |                             |                       |                   | ✓            |                                  |

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**Long Range Performance Target 3.1. By 2007, access to records and services and customer satisfaction levels meet or exceed NARA's published standards.**

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**FY 05 Estimated Performance**

- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
  - 95 percent of written requests are answered within 10 working days;
  - 90 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
  - 95 percent of requests for military service separation records at the National Personnel Records Center in St. Louis are answered within 10 working days;
  - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
  - 99 percent of customers with appointments have records waiting at the appointed time;
  - 95 percent of Federal agency reference requests in Federal records centers are ready when promised to the customer;
  - 99 percent of records center shipments to Federal agencies are the records they requested;
  - 80 percent of archival fixed-fee reproduction orders through the Order Fulfillment and Accounting System are completed in 35 working days or less;

- 95 percent of education programs, workshops, and training courses meet attendees' expectations.

#### **FY 06 Projected Performance**

- Meet or exceed NARA's published standards for access to records and services and customer satisfaction levels:
  - 95 percent of written requests are answered within 10 working days;
  - 90 percent of Freedom of Information Act requests for Federal records are answered within 20 working days;
  - 95 percent of requests for military service separation records at the National Personnel Records Center in St. Louis are answered within 10 working days;
  - 95 percent of items requested in our research rooms are furnished within 1 hour of request or scheduled pull time;
  - 99 percent of customers with appointments have records waiting at the appointed time;
  - 95 percent of Federal agency reference requests in Federal records centers are ready when promised to the customer;
  - 99 percent of records center shipments to Federal agencies are the records they requested;
  - 85 percent of archival fixed-fee reproduction orders through the Order Fulfillment and Accounting System are completed in 35 working days or less;
  - 95 percent of education programs, workshops, and training courses meet attendees' expectations.

**Outcome** Our customers are satisfied with NARA's service.

**Significance** Our customers deserve the best service we can deliver. Through the measurement of performance against customer service standards, development of customer service teams and customer service training, customer surveys, and process redesign efforts in areas that traditionally had high backlogs, we are coordinating our efforts to ensure that our customer service meets our customers' needs.

**Means and Strategies** Serving our customers is one of our primary areas of focus, and we are continually making process improvements in our research rooms, training staff in customer service principles, employing customer service teams, modernizing and upgrading research room equipment, adding research room staff, and adjusting hours of service to make it easier for more people to use our services. We also added public computer terminals with Internet access in all our research rooms nationwide.

One of our biggest customer service challenges has been to reduce the response time for requests for veterans' records. At the National Personnel Records Center in St. Louis we are nearing the end of a multi-year business process re-engineering project to bring the average response time on requests for modern military service records from several weeks to 10 working days, particularly for military service separation requests, which make up the bulk of the requests we receive. The changes required to make improvements included major organization changes, process changes, and the deployment of the Case Management and Reporting System, a workflow tool that supports our redesigned processes. Some of the changes have been dramatic, even disruptive, as old processes are put aside and new ones are learned; other modifications—training and other changes that address the underlying nature of the organization—

are so pervasive and far reaching that they naturally take some time to affect the culture of that organization. We have been seeing steady improvements in our response rates. We expect those to continue as we make further process and system improvements, and transition from a records center to an archival institution, prompted by the recent appraisal of official military personnel files as permanent records.

Our new research facilities at the National Archives Building in Washington, DC, now consolidate in one convenient location access to preeminent genealogy resources in the Washington area. Among the center's amenities is an expanded microfilm research room with ready access to millions of microfilmed documents. A new Military Service Records Research Room allows researchers to examine military service records, pension files, and bounty land warrant records. A nearby Genealogy Consultation Room provides customers with highly knowledgeable staff and volunteers to help develop research strategies and use finding aids. In FY 2005 and FY 2006 we will continue to improve our services through additional staff training and the development of an orientation presentation for customers when they use the facility for the first time.

We also are improving access to records that are difficult to use. Records of the Bureau of Refugees, Freedmen, and Abandoned Lands (Freedmen's Bureau) from the Reconstruction era contain a great deal of information about the African-American family experience across 15 states and the District of Columbia, but the information is difficult to extract, the records are fragile, and they are only available in one NARA location. We are undertaking a project to microfilm these records and distribute the microfilm to our regional archives and microfilm rental program, and by the end of FY 2006 we expect to have completed the microfilming effort for all states and the District of Columbia. With the help of a small grant from Peck Stackpoole Foundation and a partnership with Howard University's Computer Science Department, we are conducting a pilot to index and provide online access to Headquarters Marriage Certificate files, some of the most popular files in this series for genealogists.

**Key external factors** Unexpected increases in records holdings or public interest in groups of records can significantly increase workloads, response times, and wear and tear on public use equipment. NARA cannot control the response time for FOIAs that must be referred to other agencies.

#### **Verification and Validation**

| <b><i>Performance Data</i></b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for written requests answered within 10 working days.</i>  | 80             | 85             | 85             | 90             | 95             | 95             |
| Percent of written requests answered within 10 working days.   | 93             | 93             | 94             | 95             |                |                |
| <i>Performance target for Freedom of Information Act requests for Federal records completed within 20 working days.</i>  | 80             | 85             | 85             | 85             | 90             | 90             |
| Percent of Freedom of Information Act requests for Federal records completed within 20 working days.   | 27             | 76             | 61             | 67             |                |                |
| Number of FOIAs processed.   | 7,634          | 8,824          | 4,830          | 5,224          |                |                |
| Annual cost to process FOIAs (in millions).  | —              | \$1.54         | \$1.35         | \$1.43         |                |                |
| Annual per FOIA cost.  | —              | \$175          | \$265          | \$272          |                |                |
| <i>Performance target for requests for military service separation records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.</i> | —              | 35             | 45             | 70             | 95             | 95             |
| Percent of requests for military service separation  | 7              | 40             | 37             | 75             |                |                |

| <b>Performance Data</b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.   |                |                |                |                |                |                |
| Number of military service separation records (DD-214) requests answered (in thousands)   | 297            | 361            | 390            | 372            |                |                |
| Average price per request for military service separation records.  | —              | —              | \$29.70        | \$29.70        | \$30.40        |                |
| <i>Performance target for requests for all military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.</i> | 25             | 30             | 35             | —              | —              | —              |
| Percent of requests for all military service records at the National Personnel Records Center (NPRC) in St. Louis answered within 10 working days.                    | 4              | 28             | 28             | 48             |                |                |
| <i>Performance target for items requested in our research rooms furnished within 1 hour of request or scheduled pull time.</i>  | 95             | 95             | 95             | 95             | 95             | 95             |
| Percent of items requested in our research rooms furnished within 1 hour of request or scheduled pull time.   | 93             | 94             | 96             | 99             |                |                |
| Number of researchers visiting our research rooms (in thousands).   | —              | 248.7          | 204.5          | 168.8          |                |                |
| Number of items furnished in our research rooms (in thousands).   | 1,056          | 613            | 607            | 879            |                |                |
| Number of items furnished on time in our research rooms (in thousands).   | 985            | 578            | 584            | 866            |                |                |
| <i>Performance target for customers with appointments for whom records are waiting at the appointed time.</i>   | 99             | 99             | 99             | 99             | 99             | 99             |
| Percent of customers with appointments for whom records are waiting at the appointed time.  | 99.7           | 99.8           | 99.9           | 99.3           |                |                |
| <i>Performance target for Federal agency reference requests in Federal records centers that are ready when promised to the customer.</i>                              | 90             | 90             | 90             | 90             | 95             | 95             |
| Percent of Federal agency reference requests in Federal records centers that are ready when promised to the customer.   | 93             | 92             | 94             | 96             |                |                |
| <i>Performance target for records center shipments to Federal agencies are the records they requested.</i>  | 99             | 99             | 99             | 99             | 99             | 99             |
| Percent of records center shipments to Federal agencies are the records they requested.   | 99.99          | 99.99          | 99.99          | 99.99          |                |                |
| <i>Performance target for archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less.</i>   | —              | 50             | 60             | 75             | 80             | 85             |
| Percent of archival fixed-fee reproduction orders through OFAS are completed in 35 working days or less.  | —              | 88             | 99             | 99.9           |                |                |
| Average per order cost to operate fixed-fee ordering.   | —              | —              | \$26.34        | \$29.35        |                |                |
| Average order completion time (days)  | —              | 20             | 14             | 9              |                |                |
| <i>Performance target for percent of education programs, workshops, and training courses meeting attendees' expectations.</i>   | 90             | 95             | 95             | 95             | 95             | 95             |
| Percent of education programs, workshops, and training courses meeting attendees' expectations.   | 97             | 96             | 95             | 99             |                |                |
| Number of program attendees.  | 6,291          | 8,447          | 7,601          | 8,288          |                |                |



### ***Milestones***

#### **FY 2001**

- 100 percent of 1930 census microfilm duplicated—15 sets of 4,318 rolls of schedules and indexes—and distributed to NARA facilities and microfilm rental program. Furniture and equipment procured and installed.

#### **FY 2002**

- 1930 census opened to the public on April 1, 2002.
- Prototype Case Management and Reporting System at NPRC tested and deployed.
- New work assignment profiles at NPRC modified to refocus core team work.
- Freedmen's Bureau records from Florida, Alabama, Arkansas, and Washington, DC (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2003**

- Case Management and Reporting System functionality fully implemented at NPRC.
- Freedmen's Bureau records from Georgia, Kentucky, Maryland, and Delaware (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2004**

- Freedmen's Bureau records from Louisiana, Mississippi, and Missouri (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2005 Estimated**

- Freedmen's Bureau records from North Carolina, South Carolina, and Texas (out of 15 states and the District of Columbia) microfilmed.

#### **FY 2006 Projected**

- Freedmen's Bureau records from Tennessee and Virginia (out of 15 states and the District of Columbia) microfilmed.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Request price for military service separation agreements from FY 2004 Records Center Program Rate Schedule, which is provided annually to agencies in an attachment to their interagency agreement.

**Definitions** Written requests: requests for services that arrive in the form of letters, faxes, e-mails, and telephone calls that have been transcribed. Excludes Freedom of Information Act requests, personnel information requests at the National Personnel Records Center, Federal agency requests for information, fulfillment of requests for copies of records, requests for museum shop products, subpoenas, and special access requests; Federal agency reference request: a request by a Federal agency to a records center requesting the retrieval of agency records. Excludes personnel information requests at the National Personnel Records Center.

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### **Long Range Performance Target 3.2. By 2007, 70 percent of NARA services are available online.**

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#### **FY 05 Estimated Performance**

- Ensure 50 percent of NARA services are available online.

#### **FY 06 Projected Performance**

- Ensure 60 percent of NARA services are available online.

**Outcome** More people, nationwide and worldwide, have easy access to NARA services.

**Significance** For citizens and the Government to take full advantage of the resources we have to offer, we must make those services available as widely as possible. With the advent of the Internet and other electronic forms of communication, we have the means to offer services remotely. Visiting or writing one of our facilities is no longer the only way for people to get ready access to essential evidence. By broadening the availability of our services, we ensure that citizens everywhere have access to their National Archives.

**Means and Strategies** Our web site is the most widely available means of electronic access to our services and information, including directions on how to contact us and do research at our facilities; descriptions of our holdings in an online catalog; direct access to certain archival electronic records; digital copies of selected archival documents; electronic mailboxes for customer questions, comments, and complaints; electronic versions of *Federal Register* publications; online exhibits, and classroom resources for students and teachers.

In accordance with the President's Management Agenda, which aims to expand electronic government, NARA has aggressively looked for opportunities to make more of our services, for both Federal agencies and the public, available electronically. To meet this challenge and the requirements of the Government Paperwork Elimination Act (GPEA), however, we must dramatically improve our information technology infrastructure to support a wide variety of complex electronic transactions.

In FY 2004 we updated our web site, *archives.gov*, to assist the public coming to see the newly renovated National Archives Building and the return of the Charters of Freedom (the Declaration of Independence, Constitution, and Bill of Rights) to public display. The web site also provides information of newly opened components of the *National Archives Experience*—the new William G. McGowan Theater and the Public Vaults permanent exhibit. In partnership with National History Day, USA Freedom Corps, The History Channel, U.S. News and World Reports, and Siemens, we hosted "The People's Vote: The People's Top 10 Selections of Documents That Shaped America," the results of which are posted on our web site. We also launched a web site featuring information about the Electoral College process, providing resources especially for teachers and state electors.

We will continue to collect public feedback about our sites through our American Customer Satisfaction Index (ACSI) online surveys of our web sites and major application interfaces such as our Archival Research Catalog (ARC) and Access to Archival Databases (AAD) systems. The results of these surveys are helping guide the redesign of our web site, *archives.gov* to make it more helpful to our customers. In FY 2005 we will focus on producing and launching a major redesign of this site, as well as a redesigned web site featuring records and materials, resources, and online (museum-style) exhibits relating to the presidency of Richard Nixon.

We launched *Order Online!* in FY 2004, allowing customers for the first time to place orders for reproductions of selected archival records and pay for them electronically. Throughout the year, we have also expanded the types of orders customers could make using this tool, and piloted an online registration management system that, when fully deployed, will allow NARA customers to register and pay for records management classes and conferences via the Internet. In addition, we provided the public access to a press conference through the web; we gave job seekers the ability to submit an online job application; and we provided Federal agencies the online capability for publishing public information, requesting assistance with a regulation, and requesting and receiving technical assistance through the *Federal Register*.

In FY 2005, we are reviewing the results of a business process reengineering study to analyze alternatives, establish requirements, and develop a concept of operations for merchandising before implementing online ordering and payment of merchandise. We will also align our online acquisition capabilities with the Integrated Acquisition Environment e-Government Initiative. And in FY 2006, organizations will be able to submit an online request to borrow a record or an artifact and to receive an acknowledgment of donations to NARA's Trust and Gift Funds.

We have contracted with human factors engineers to help us evaluate our online service offerings. This expertise will help NARA ensure that its online solutions effectively meet the needs of our customers. It will help us create interface and application designs that are intuitive, easy to use, and minimize user errors. We will phase in each capability to ensure that we have adequate technical resources to meet customer demand. Some Government web sites have been completely overwhelmed by their own success when more users than expected swamped sites with new services. To manage this potential problem, we will monitor each new application closely to evaluate the level of technical resources used, shift resources as necessary, and develop a baseline for future activities. All web initiatives undergo extensive testing so that we have ample opportunity to examine how the initiative is changing business processes, evaluate the costs and benefits of further revamping, analyze the performance of the application, ensure users' privacy is protected, and mitigate the risks associated with fraud, error, and misuse.

### **Verification and Validation**

| <i>Performance Data</i>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Online visits to NARA's web site (in thousands).                         | 16,106         | 19,538         | 30,943         | 30,428         |                |                |
| Cost to provide NARA services online per visitor.                        | —              | —              | \$0.16         | \$0.13         |                |                |
| <i>Performance target for percent of NARA services available online.</i> | —              | 20             | 30             | 40             | 50             | 60             |
| Percent of NARA services available online.                               | 24             | 25             | 30             | 40             |                |                |
| Number of NARA services online   | 29             | 30             | 36             | 48             |                |                |

### ***Milestones***

|                          |   |
|--------------------------|---|
| <b>FY 2001</b>           | <ul style="list-style-type: none"> <li>Preliminary measurement methodology developed and baseline for NARA services available online proposed.</li> </ul>   |
| <b>FY 2002</b>           | <ul style="list-style-type: none"> <li>Measurement methodology finalized.</li> <li>Web-based request form to allow electronic requests of copies of records made available.</li> </ul>  |
| <b>FY 2003</b>           | <ul style="list-style-type: none"> <li>Veterans and next-of-kin of deceased veterans provided with the capability of online ordering of copies of the veterans' military service records.</li> <li>Customers surveyed about their satisfaction with our online services.</li> </ul> |
| <b>FY 2004</b>           | <ul style="list-style-type: none"> <li>Online registration management system piloted.</li> <li>Order Online! implemented.</li> <li>Online ordering and payment of merchandise study conducted.</li> </ul>   |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"> <li>NARA online acquisition capabilities aligned with the Integrated Acquisition Environment e-Government Initiative.</li> </ul>   |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"> <li>Online request to borrow a record or artifact and acknowledgement of donation to NARA's Trust and Gift Funds implemented.</li> </ul>   |

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Online visits: One person using our web site is counted as one "visit." It is a count of the number of visitors to our web site, and is similar to counting the number of people who walk through our front door. In contrast, it does not count "hits," which refers to the number of files used to show the user a web page. A visit in which a user accessed a web page comprising 35 files would count as 1 visit and 35 hits. Counting visits is a more accurate way of showing how much use our web site is getting than counting hits.

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**Long Range Performance Target 3.3. By 2008, 80 percent of NARA archival holdings are described in an online catalog.**

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**FY 05 Estimated Performance**

- Describe 40 percent of NARA traditional holdings in the Archival Research Catalog.
- Describe 40 percent of NARA artifact holdings in the Archival Research Catalog.
- Describe 10 percent of NARA electronic holdings in the Archival Research Catalog.

**FY 06 Projected Performance**

- Describe 50 percent of NARA traditional holdings in the Archival Research Catalog.
- Describe 50 percent of NARA artifact holdings in the Archival Research Catalog.
- Describe 20 percent of NARA electronic holdings in the Archival Research Catalog.

**Outcome** Researchers find the descriptive information they need about NARA archival holdings in one convenient location.

**Significance** In a democracy, the records of its archives belong to its citizens. NARA is committed to ensuring that citizens anywhere, anytime can gain access to information about and from the records of our Government. A key strategy to fulfilling that commitment is the development and deployment of the Archival Research Catalog (ARC).

**Means and Strategies** When fully populated, ARC will be a comprehensive, self-service, online "card catalog" of descriptions of our nationwide holdings. Previously, to locate records you wanted to see or copy, you had to search through various published and unpublished catalogs, indexes, and lists, many of which were out of date, out of print, or available in one location only. ARC will ensure that anyone, anywhere with an Internet connection can browse descriptions of all of our holdings, including electronic records, in our Washington, DC, area archives, regional archives, and Presidential libraries. ARC also contains links to more than 124,000 digital images of some of our most popular and interesting holdings. The available online historical documents include many of the holdings highlighted in NARA's permanent Public Vaults exhibit.

In developing ARC, we built two systems—a read-only web version of the system for use by staff and the public, and a data entry system in which archivists enter and edit records descriptions. In FY 2002 we launched the read-only catalog, and during FY 2003 and FY 2004 we rolled out the ARC data entry system to nearly all of our archival units nationwide. Today, ARC contains more than 600,000 descriptions and it is growing daily. But with 65 years worth of existing descriptive information to place into ARC, we have a multi-year challenge ahead.

## Verification and Validation

| <i>Performance Data</i>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| Percent of nationwide archival holdings described in an online catalog.                         | 13.2           | —              | —              | —              | —              | —              |
| Cubic feet of archival holdings (in thousands)  | 2,915          | —              | —              | —              | —              | —              |
| Cubic feet of archival holdings described in an online catalog.                                 | 386            | —              | —              | —              | —              | —              |
| <i>Performance target for traditional holdings in an online catalog</i>                         | —              | 20             | 25             | 30             | 40             | 50             |
| Percent of traditional holdings in an online catalog  | —              | 19             | 20             | 33             |                |                |
| Number of traditional holdings described in an online catalog (thousands of cubic feet)         | —              | 550            | 602            | 1,033          |                |                |
| Number of traditional holdings in NARA (thousands of cubic feet)                                | —              | 2,890          | 3,025          | 3,157          |                |                |
| <i>Performance target for artifact holdings in an online catalog</i>                            | —              | 20             | 25             | 30             | 40             | 50             |
| Percent of artifact holdings in an online catalog   | —              | 19             | 17             | 40             |                |                |
| Number of artifact holdings described in an online catalog (thousands of items).                | —              | 90             | 90             | 215            |                |                |
| Number of artifact holdings in NARA (thousands of items)  | —              | 470            | 528            | 540            |                |                |
| <i>Performance target for electronic holdings in an online catalog</i>                          | —              | 0              | 0              | 5              | 10             | 20             |
| Percent of electronic holdings in an online catalog   | —              | 0              | 0              | 10             |                |                |
| Number of electronic holdings described in an online catalog (millions of logical data records) | —              | 1              | 1              | 536            |                |                |
| Number of electronic holdings in NARA (millions of logical data records)                        | —              | 3,714          | 4,743          | 5,629          |                |                |
| Number of ARC users (in thousands of user hits*)  | —              | 713            | 1,884          | —              |                |                |
| Number of ARC users (in thousands of visits*)   | —              | —              | —              | 158            |                |                |

### Milestones

#### FY 2002

- Migration of NAIL descriptions to ARC completed.
- Launch of ARC web system to the public completed.
- Development of ARC data entry system completed.

#### FY 2003

- Testing and launch of ARC data entry system completed.

#### FY 2004

- ARC rollout to 97 percent of NARA archival units nationwide complete.

#### FY 2005 Estimated

- ARC rollout to all archival units nationwide 100 percent complete.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** NAIL: NARA Archival Information Locator, prototype for ARC; ARC: Archival Research Catalog, NARA-wide online catalog. \*User Hits: the number of files used to show the user a web page. This is not the preferred method for measuring web usage. Counting visits is more accurate, and is used for ARC in 2004. Traditional holdings: books, papers, maps, photographs, motion pictures, sound and video recordings and other documentary material that is not stored on electronic media. Artifact holdings: objects whose archival value lies in the things themselves rather than in any information recorded upon them. Electronic holdings: records on electronic storage media.

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**Long Range Performance Target 3.4. By 2007, government-wide holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended, through a series of ISOO-led interagency efforts.**

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**FY 05 Estimated Performance**      • Ensure that 25 percent of the FY 2004 baseline of government-wide holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.

**FY 06 Projected Performance**      • Ensure that 95 percent of the FY 2004 baseline of government-wide holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.

**Outcome** More records are declassified and available for public use.

**Significance** The Information Security Oversight Office (ISOO), which is administered by NARA, oversees the Government-wide security classification program and reports annually to the President on its status. ISOO collects data about agencies' programs as a means of assessing those programs. Credible data are essential to making these assessments. Further, an important component of the security classification program is declassification, in particular the automatic declassification program.

**Means and Strategies** On March 25, 2003, the President issued Executive Order 13292 amending Executive Order 12958. Among the many changes is the extension of the automatic declassification deadline from April 17, 2003, to December 31, 2006. This is the second extension of the original automatic declassification deadline, April 17, 2000. To meet the new deadline set by the President in his amendment, it will be important to determine what records in agencies' holdings will be subject to section 3.3 of the Order. ISOO has been working with agencies to identify impediments to meeting this deadline. These impediments are far reaching, covering a range of areas including policy issues, agency organizational structures, budget constraints, lack of training, and the development of agency guidance to assist agencies identifying equities. ISOO is working closely with agencies to develop appropriate solutions to these impediments.

**Key external factors** Security concerns related to the war on terrorism may divert resources from declassification efforts or lead to the withholding of additional records. Agencies' cooperation is essential to identifying the records subject to automatic declassification, impediments to meeting the new deadline, and solutions to these impediments.

**Verification and Validation**

| <i>Performance Data</i>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| Number of pages declassified government-wide (in millions of pages)     | 100.1          | 44.4           | 43.1           | TBD            | —              | —              |
| Per page cost of Government-wide declassification                       | \$2.32         | \$2.55         | \$1.25         | TBD            | —              | —              |
| Total cost of declassification Government-wide (in millions of dollars) | \$231.9        | \$112.96       | \$53.8         | TBD            | —              | —              |

*\*FY 2004 data is collected from Federal agencies and will be reported to Congress in June 2005.*

## *Milestones*

### **FY 2001**

- 3 program reviews completed.

### **FY 2002**

- All agencies handling classified information surveyed with a questionnaire about the data collection form, SF 311, "Agency Security Classification Management Program Data."
- Online contractor e-survey to assess the current effectiveness of the National Industrial Security Program conducted, with 393 contractors participating.
- 5 Executive Branch agencies program reviews completed.

### **FY 2003**

- Interviews with agencies that make classification decisions in automated systems, including e-mail systems, completed.
- Third review of the National Industrial Security Program completed.
- 15 Executive Branch agencies program reviews completed.

### **FY 2004**

- Universe of records subject to section 3.3 of the Order identified through agencies' declassification plans.
- Impediments and solutions to meeting the December 31, 2006 deadline identified.
- Guidance about how to collect data on the number of classification decisions made in automated systems, including e-mail, developed and distributed to Executive branch agencies.
- 75 agencies tasked to develop a declassification plan. Of these, 28 agencies did not need plans because they had no records subject to automatic declassification. Of remaining 46 agencies required to develop plans, 30 plans were acceptable and 16 needed additional work to be acceptable.

### **FY 2005 Estimated**

- 25 percent of the FY 2004 baseline of government-wide holdings of classified records 25-years-old or older declassified, properly exempted, or appropriately referred.
- Plan and cost-effectiveness study developed for automating the data for SF 311, including a requirement for electronic reporting.

### **FY 2006 Projected**

- 95 percent of the FY 2004 baseline of government-wide holdings of classified records 25-years-old or older declassified, properly exempted, or appropriately referred.

**Data source** Quarterly performance reports to the Archivist. Information Security Oversight Office, 2003 Report to the President, March 31, 2004 ([http://www.archives.gov/isoo/reports/2003\\_annual\\_report.html](http://www.archives.gov/isoo/reports/2003_annual_report.html)) and 2003 Report on Cost Estimates for Security Classification Activities, July 2004 ([http://www.archives.gov/isoo/reports/2003\\_cost\\_report.html](http://www.archives.gov/isoo/reports/2003_cost_report.html)).

**Definitions** Classified document review: a review by ISOO of an executive branch agency to identify inconsistencies in the application of classification and marking requirements of Executive Order 12958. The results of the review along with any appropriate recommendations for improvement are reported to the agency senior official for the program or the agency head. Program review: an evaluation of selected aspects of an executive branch agency's security classification program to determine whether an agency has met the requirements of Executive Order 12958. The review may include security education and training, self-inspections, declassification, safeguarding, and classification activity. The results of a review, along with any appropriate recommendations for improvement are reported to the agency senior official or agency head.

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**Long Range Performance Target 3.5.** By 2007, NARA archival holdings of 25-years-old or older records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.

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### **FY 05 Estimated Performance**

- Ensure that 50 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.
- Scan 300,000 pages of Presidential archival materials eligible

for declassification review as part of the Remote Archives Capture project.

**FY 06 Projected Performance**

- Ensure that 95 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.
- Scan 500,000 pages of Presidential archival materials eligible for declassification review as part of the Remote Archives Capture project.

**Outcome** More archival records are declassified and made available for public use.

**Significance** Executive Order 12958, which was amended in FY 2003, requires the declassification of material 25 years old unless specifically exempt. The Government protects millions of classified documents at great expense, including more than 390 million pages in our Washington, DC, area facilities and 38 million pages in Presidential libraries. The majority of these documents more than 25 years old no longer requires classified protection and can and should be accessible to citizens.

**Means and Strategies** NARA staff continue to focus on the review of eligible records series that are not already being reviewed by the originating agencies. These agencies are ones that receive but do not generate much classified information. We must review these records to identify the equities of other agencies that may still have concerns about information in the records. To handle the reviews required by Executive Order 12958, and the extra work required by the Kyl and Lott Amendments, we hired experienced contract personnel to survey, review, and prepare records for release. These contractors worked primarily on Presidential materials from the Eisenhower through Carter administrations.

We have created a referral center to streamline the process of agency review of referred materials in accessioned records. Agencies have been asked to determine if their equity in documents is releasable or exempt. We expect this center to eventually provide a one-stop, systematic way for agencies to examine and clear their referred materials. Responding to the needs of our customers, NARA staff are increasing efforts to process for release those records series known to be in high demand by researchers that have undergone declassification review by other agencies. We have completed a survey of those record groups not being reviewed by the originating agencies to identify the equities of other agencies. We are working with ISOO to encourage non-reviewing agencies to either review their records or negotiate an agreement with another agency to do the review on their behalf. In partnership with the Air Force, we are expanding the operation of the referral center in order to meet the Executive Order deadline. Most of our declassifications resources will be focused on preparing records for the referral center.

For classified materials in the Presidential library system for which we have no delegated declassification authority, we have established a partnership with the Central Intelligence Agency (CIA) to prepare and scan classified materials for distribution to agencies with equities in the documents. CIA is funding all of the technological development, hardware, and software for the project.

Meeting the targets of Executive Order 12938 will be a significant challenge at the Reagan Library, which holds the next Presidential collection to which the executive order declassification review provisions must be applied. With about 8 million pages of textual classified holdings, this represents more classified



pages than all of the previous libraries combined. Once the huge declassification backlog is cleared there, we will move resources to the next library, the George H.W. Bush Library.

**Key external factors** Security concerns related to the war on terrorism may divert resources from declassification efforts or lead to the withholding of additional records.

The Kyl and Lott Amendments require the re-review, page-by-page, of all declassified records except those determined to be highly unlikely to contain Restricted Data and Formerly Restricted Data. We continue to devote resources to assist the Department of Energy (DOE) in surveying and auditing records to ensure that no Restricted Data and Formerly Restricted Data are inadvertently released. Our work in this increased in FY 2003 as the U.S. Air Force began a project similar to DOE's that will result in another layer of review before the records can be made available.

Special declassification projects also reduce the amount of declassification that can be accomplished with existing resources. Instead of examining entire records series for declassification, many of our declassification staff are required to examine individual withdrawn classified documents to determine their relevance and coordinate their declassification with the appropriate agencies.

The CIA must continue to provide technical support to enable the review of documents by other agencies. Agencies must conduct reviews of their equities in the scanned documents before the libraries can process the records for release.

New employees hired for the declassification program cannot start work with classified records for many months until their security clearances are approved.

#### **Verification and Validation**

| <b><i>Performance Data</i></b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Backlog of Federal records at start of year (in thousands).  | 25,029         | 20,980         | 18,980         | 25,581         |                |                |
| <i>Performance target for NARA archival holdings of 25-years-old or older Federal records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.</i>      | 50             | 85             | 90             | —              | 50             | 95             |
| Annual percentage of Federal records NARA reviewed that are more than 25 years old for which NARA has declassification authority.  | 9              | 12             | 7              | 2              |                |                |
| Backlog of Presidential materials at start of year (in thousands).   | 1,562          | 1,240          | 960            | 806            |                |                |
| <i>Performance target for NARA archival holdings of 25-years-old or older Presidential records are declassified, properly exempted, or appropriately referred under the provisions of Executive Order 12958, as amended.</i> | 25             | 85             | 90             | —              | 50             | 95             |
| Annual percentage of Presidential records NARA reviewed that are more than 25 years old for which NARA has declassification authority.   | 21             | 23             | 16             | 17             |                |                |
| Annual number of Federal pages reviewed (in thousands).  | 2,129          | 2,490          | 1,257          | 547            |                |                |
| Annual number of Federal pages declassified (in thousands).  | 807            | 402            | 340            | 116            |                |                |
| Annual number of Federal pages released (in thousands).  | 1,788          | 2,184          | 1,092          | 994            |                |                |

| <b><i>Performance Data</i></b>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| Annual number of Presidential pages reviewed (in thousands).                              | 322            | 280            | 154            | 138            |                |                |
| Annual number of Presidential pages declassified (in thousands).                          | 219            | 119            | 71             | 94             |                |                |
| <i>Performance target for annual number of Presidential pages scanned (in thousands).</i> | <i>300</i>     | <i>300</i>     | <i>600</i>     | <i>300</i>     | <i>300</i>     | <i>500</i>     |
| Annual number of Presidential pages scanned (in thousands).                               | 322            | 332            | 470            | 500            |                |                |
| Annual number of Presidential pages released (in thousands).                              | 207            | 182            | 71             | 94             |                |                |
| Cost per page declassified (Federal and Presidential).                                    |                |                |                | \$23.44        |                |                |

#### ***Milestones***

##### **FY 2004**

- Survey of those record groups that are not being reviewed by the originating agency conducted to determine which agencies have equities in the records and appropriate referrals to those agencies made.

##### **FY 2005 Estimated**

- 50 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.

##### **FY 2006 Projected**

- 95 percent of the FY 2004 baseline of NARA archival holdings of classified records 25-years-old or older are declassified, properly exempted, or appropriately referred.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Equity-holding agency: the agency that may have classified information in a document, whether or not it created the document. Without declassification guidelines, only the equity-holding agency can declassify information in the document.

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**Long Range Performance Target 3.6. By 2007, 10 percent of records of a two-term President or 15 percent of records of a one-term President are open and available for research at the end of the 5-year post-Presidential period specified in the Presidential Records Act.**

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##### **FY 05 Estimated Performance**

- Process an additional 2 percent of Clinton Presidential and Vice Presidential records for opening on January 20, 2006.

##### **FY 06 Projected Performance**

- Process an additional 2 percent of Clinton Presidential and Vice Presidential records.
- Open processed Clinton Presidential and Vice Presidential records on January 20, 2006.

**Outcome** More Presidential records are available sooner for public use.

**Significance** The Presidential Records Act (PRA) requires Presidential records to be available for the Freedom of Information Act (FOIA) requests five years after the President leaves office. Five years after the last two Presidents left office, well under 10 percent of their records had been opened, largely because of the absence, on the Presidents' departures, of NARA staff trained to accomplish the exacting reviews required under the PRA and FOIA. We must ensure that Presidential records are available in accordance with the Act in a more timely fashion.

**Means and Strategies** The increasing volume and complexity of Presidential records presents a significant challenge to NARA in the upcoming years. At the end of the Clinton Administration, NARA took legal custody of 77 million pages of Clinton classified and unclassified textual records, tens of thousands of artifacts, and more than 60 electronic systems. One of these systems alone, the Automated Records Management System (ARMS), contains 20 million e-mail records, with an estimated volume of 48 million pages. The volume of textual materials, artifacts, and electronic records increases with each Presidential administration. In addition, the rapid proliferation of electronic Presidential records vastly increases the complexity of demands on NARA staff. Experience in reviewing Clinton Administration e-mail records for special access requests has provided us with a basic understanding of these complexities. These include the greater prevalence of privacy issues, unmarked or mismarked national security information, difficulty in conducting searches for responsive materials, and frequent intermixing of personal material with record information.

To ensure the availability of Clinton Administration records and artifacts for informational, historical, evidentiary and administrative purposes, staff trained in the requirements of the PRA and FOIA process these records and artifacts in accordance with the requirements described above. Staff also prepare inventories for Presidential and Vice Presidential records to provide basic intellectual control and assist in finding and responding to records requested in special access requests in the post-Presidential period. The inventories also assist the staff in processing the records and in responding to FOIA requests five years after the end of the administration.

**Key external factors** The Clinton Project has been responding to numerous special access requests from all three branches of government. These requests require comprehensive searches and production of documents for ongoing commissions, legal cases, and investigations. This continues to have a significant impact on the amount of systematic processing the Project will be able to accomplish before the records are available for FOIA review in January 2006. Preparations for the opening of the new library also affected our ability to proceed with systematic processing.

#### **Verification and Validation**

| <b><i>Performance Data</i></b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.</i> | 1              | 3              | 3              | 5              | 5              | 7              |
| Cumulative percent of Clinton Presidential and Vice Presidential traditional records processed for opening January 20, 2006.                               | 1              | 1              | 1              | 2              |                |                |
| Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records.   | 28,925         | 28,925         | 37,686         | 39,049         |                |                |
| Cumulative cubic feet of Clinton Presidential and Vice Presidential traditional records processed for opening.   | 291            | 291            | 291            | 752            |                |                |
| <i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential electronic records processed for opening January 20, 2006.</i>  | 0              | 0              | 0              | 0              | 0              | 0              |
| <i>Performance target for cumulative percent of Clinton Presidential and Vice Presidential artifacts processed for opening January 20, 2006.</i>           | 0              | 0              | 0              | 0              | 0              | 0              |

### ***Milestones***

#### **FY 2001**

- Inventories gathered, prepared, or accessible for another 33 percent of Presidential records.
- 100 percent of Clinton Administration Presidential and Vice Presidential records and artifacts transferred to NARA.
- Clinton project web site developed and four digitally preserved, fully-searchable versions of the Clinton White House web site posted.

#### **FY 2005**

- William J. Clinton Library and Museum dedicated November 18, 2004.

#### **FY 2006 Projected**

- Processed Clinton Presidential and Vice Presidential records opened on January 20, 2006.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** Inventory: a listing of the volume, scope, and complexity of an organization's records.

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### **Long Range Performance Target 3.7. By 2007, 90 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.**

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#### **FY 05 Estimated Performance**

- 87 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

#### **FY 06 Projected Performance**

- 88 percent of all NHPRC-assisted projects produce results promised in grant applications approved by the Commission.

**Outcome** The public gains wider access to the entire range of records on which the understanding of American history depends.

**Significance** National Historical Publications and Records Commission grants help archivists, editors, and historians nationwide broaden public access to non-Federal records, thus complementing NARA's own mission. Toward this end, the NHPRC works to ensure completion of documentary projects on America's founding era, strengthens the nation's archival infrastructure through collaboration with the states, and funds research and development on preserving and making accessible important documentary sources in electronic form.

**Means and Strategies** The Commission achieves its goals largely through a competitive grants program open to non-profit organizations, and state, local, and tribal governments. Applicants provide at least 50 percent of the total project costs. Grant applications include objectives, a budget, a work plan, and a list of products. Peer reviewers or state historical advisory boards evaluate proposals and the staff makes recommendations to the Commission. The Commission makes recommendations to the Archivist, who makes the awards. Grant recipients must submit regular narrative and financial reports and a final report with copies of products generated by the project. Commission staff monitors the projects through reporting and individual contact. Staff also monitors relevant professional reviews of the products of its grants found in professional journals and in reports to professional meetings. Staff evaluates projects at closing to determine if they have completed the project as promised. Some experimental projects do not produce expected results. In these cases, finding out what does not work may be just as valuable as finding out what does.

The Federal Financial Assistance Management Improvement Act of 1999 required the NHPRC to simplify its grant-making process, particularly by providing electronic options. We continue to simplify

our regulations and to ensure grantees easy access to grants information via our web site. We have made grant application forms available on our web site and simplified the grant process for our grantees by accepting alternate means, such as fax, for the transmission of interim reports and requests. We initiated the streamlining of our grant guidelines, including refining the granting categories, and began posting NHPRC grant opportunities on *grants.gov*, the Federal Government's single, online portal for all Federal grants.

**Key external factors** The NHPRC rigorously evaluates grant applications on the basis of the relevance of projects to the NHPRC's strategic objectives and the ability of applicants to produce promised results. Nonetheless, results ultimately depend on the grantees rather than on the NHPRC.

### **Verification and Validation**

| <i>Performance Data</i>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of NHPRC grant-funded projects produced results promised in grant applications.</i> | 84             | 84             | 85             | 86             | 87             | 88             |
| Percent of NHPRC grant-funded projects that produced results promised in grant applications.                          | 91             | 79             | 86             | 88             |                |                |
| Number of NHPRC-assisted projects completed.  | 115            | 104            | 72             | 96             |                |                |
| Number of NHPRC-assisted projects that produced the results promised.   | 105            | 82             | 62             | 84             |                |                |
| Number of traditional records preserved and made accessible through our grants projects (in cubic feet).              | —              | —              | —              | 1,803          |                |                |
| Number of electronic records preserved and made accessible through our grants projects (in logical data records).     | —              | —              | —              | 0              |                |                |
| Number of documentary editions published through our grants project (in volumes).                                     | —              | —              | —              | 13             |                |                |
| Percent of NARA's grants announced on <i>Grants.gov</i> .   | —              | —              | —              | 100            |                |                |

### ***Milestones***

#### **FY 2002**

- NHPRC grant application forms available on web site.

#### **FY 2003**

- NHPRC regulations and guidance revised, streamlined, and posted on web site.

#### **FY 2004**

- Grant opportunities posted on *grants.gov*.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**STRATEGIC GOAL 4 ALL RECORDS ARE PRESERVED IN AN APPROPRIATE ENVIRONMENT FOR USE AS LONG AS NEEDED.**

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- Long Range Performance Targets**
- 4.1. By 2009, 100 percent of NARA's archival holdings are in appropriate space.
- 4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.
- 4.3. By 2007, 50 percent of NARA's at-risk archival holdings are appropriately treated or housed so as to retard further deterioration.

**FY 2001 Resources Available to Meet This Goal:** \$159,044,000; 322 FTE \*

**FY 2002 Resources Available to Meet This Goal:** \$126,361,000; 338 FTE \*

**FY 2003 Resources Available to Meet This Goal:** \$91,319,000; 160 FTE

**FY 2004 Resources Available to Meet This Goal:** \$63,575,000; 149 FTE

**FY 2005 Resources Available to Meet This Goal:** \$63,929,000; 152 FTE

**FY 2006 Resources Requested to Meet This Goal:** \$62,015,000; 152 FTE

*\* Resources include a portion of the dollars and FTE for Goal 5.*

| <b>FY 2005 Budget Linkage</b>   | <b>Records Services</b> | <b>Archives Related Services</b> | <b>Electronic Records Archives</b> | <b>Archives II Facility</b> | <b>Revolving Fund</b> | <b>Trust Fund</b> | <b>NHPRC</b> | <b>Repairs &amp; Restoration</b> |
|---|-------------------------|----------------------------------|------------------------------------|-----------------------------|-----------------------|-------------------|--------------|----------------------------------|
| 4.1. By 2009, 100 percent of NARA's archival holdings are in appropriate space.   | ✓                       |                                  |                                    | ✓                           |                       |                   |              | ✓                                |
| 4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.                            |                         |                                  |                                    |                             | ✓                     |                   |              |                                  |
| 4.3. By 2007, 50 percent of NARA's at-risk archival holdings are appropriately treated or housed so as to retard further deterioration. | ✓                       |                                  |                                    |                             |                       |                   |              |                                  |

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**Long Range Performance Target 4.1. By 2009, 100 percent of NARA's archival holdings are in appropriate space.**

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- FY 05 Estimated Performance**
- Complete all renovations at the National Archives Building.
  - Open Clinton Presidential Library.
  - Complete construction of the Southeast Regional Archives.
  - Complete facility specifications and concept design for new military personnel records center in St. Louis.
  - Complete move plan for military personnel records in St. Louis.

**FY 06 Projected Performance**

- Complete move of records to new Southeast Regional Archives.
- Complete lease agreement for military personnel records center.
- Prepare 250,000 cubic feet of records for move to new facility in St. Louis.

**Outcome** Archival records are preserved for public use.

**Significance** Providing appropriate physical and environmental storage conditions are the most cost-effective means to ensure records preservation. We greatly increase the chances of records being available for use by Federal officials and the public for as long as needed. In addition, for the first time in America's history, all the Charters of Freedom are fully accessible to the public and their continued preservation is ensured.

**Means and Strategies** While our state-of-the-art facility in College Park, MD, provides appropriate storage conditions for the archival headquarters records of most Federal agencies as well as modern records of national interest, many of our other facilities require environmental and storage improvements. Several of our regional facilities have severe quality problems, including backlogs of needed repairs and renovations, and existing Presidential libraries need upgrades in environmental conditions.

In our regions, in FY 2005 and FY 2006, we are focusing on facilities with the worst storage conditions (St. Louis and Ft. Worth) and on those that are out of space (Anchorage). In St. Louis, we have stored and managed the bulk of the 20<sup>th</sup>-century military personnel records for the Department of Defense since 1960. Because these records have such great value to veterans and their families currently trying to document their rights and to future researchers documenting the military history of the 20th century, NARA is accessioning these records. Our St. Louis facility, however, does not meet minimum standards for records center storage and faces a 2009 deadline to do so. After an extensive analysis of the costs of digitizing records versus continued storage of paper records at the National Personnel Records Center, we selected the least costly option—continued reliance on paper records—to meet long-term preservation and access needs. In FY 2006, a lease will be signed with a company to build a new facility within 50 miles of the current site. During FY 2006, NARA will work with the contractor to develop a design that meets stringent preservation standards, provides cost-effective, long-term storage, accommodates public use needs specific to the collections, and takes advantage of information technology for enhanced access. NARA needs to begin planning now for appropriately storing the military service records of the 20th century in the new facility. Substantial effort is also required over the next several years to prepare the records for a move that will begin in FY 2008. In anticipation of moving the records, NARA conducted a comprehensive physical needs assessment during FY 2003. We also are developing a comprehensive archival management program plan to ensure that we are prepared to implement accessioning, processing, description, and reference services functions as part of the selected facility option, and to integrate these functions with the existing preservation program. And in FY 2005, we will complete a facility requirements study and concept design that will provide the basis for the facility lease requirements.

In Atlanta, construction of a new facility for the Southeast Regional Archives is nearing completion. The facility shares a site with the Georgia Department of Archives and History, near the campus of Clayton State College and University, in suburban Atlanta. After completing the construction, NARA will outfit the new building with shelving and furniture, move records and staff into this new state-of-the-art facility,

and begin operations.

And in Washington, DC, the renovation of public spaces in National Archives Building is nearing completion in FY 2005. The building has been upgraded to modern standards and in compliance with the Americans with Disabilities Act (ADA). The renovations include replacements of mechanical equipment, electrical distribution equipment, new emergency exits, fire alarm and security systems, and upgrades to the public spaces and office areas.

**Key external factors** Public, White House, and Congressional support for our space planning activities is vital to develop and implement proposed plans.

### **Verification and Validation**

| <i>Performance Data</i>  | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|
| Percent of NARA archival holdings in appropriate space                                   | —              | 52             |                |                |
| Number of archival traditional holdings (in thousands of cubic feet)                     | 3,025          | 3,100          |                |                |
| Percent of artifact holdings in appropriate space  | —              | 42             |                |                |
| Number of artifact holdings (in thousands)   | 528            | 540            |                |                |
| Percent of electronic holdings in appropriate space                                      | —              | 100            |                |                |
| Number of electronic holdings in appropriate space (in millions of logical data records) | 4,743          | 5,629          |                |                |
| Cost of archival storage space per cubic feet of traditional holdings stored             | —              | \$6.16         |                |                |

### ***Milestones***

#### **FY 2001**

- Final design for the renovation of the National Archives Building completed.
- Fabrication of seven encasements completed.
- Page three of the Constitution re-encased.
- Draft environmental assessment for Southeast Regional Archives and 35 percent design completed.
- Move of archival records from the Washington National Records Center to the National Archives at College Park completed.
- Construction contract for the renovation of the National Archives Building awarded.
- Two pre-renovation construction projects in the National Archives Building completed:
  - Construction of moat offices completed.
  - Demolition of shelving and steel decks on six floors completed.
- Records from White House moved to temporary facility for Clinton Presidential Materials Project.
- Construction at the Truman Library completed.
- Design for museum renovations at the Eisenhower Library completed.
- Design for the Roosevelt Library visitor center completed.

#### **FY 2002**

- Murals from the National Archives Building Rotunda removed for conservation.
- Pages one and four of the Constitution re-encased.
- New concrete floors on tiers 3 and 5 of the National Archives Building completed.
- Installation of new cooling towers at the National Archives Building completed.
- Facility standards for archival facilities published.
- All renovation construction except for cold storage room at Eisenhower Library completed.
- Construction contract for Roosevelt Library Visitors Center awarded.
- Design for Reagan Library museum renovation and addition completed and construction contract awarded.
- Design for Ford museum renovation and addition completed and construction contract awarded.
- Design for Kennedy Library plaza and seawall repair project completed.



|                          |   |
|--------------------------|---|
|                          | <ul style="list-style-type: none"> <li>• Design work for Southeast Regional Archives 99 percent completed.</li> </ul>   |
| <b>FY 2003</b>           | <ul style="list-style-type: none"> <li>• Restoration and preservation of the Rotunda murals completed and murals reinstalled.</li> <li>• Conservation work completed and Charters of Freedom redisplayed in the Rotunda.</li> <li>• Renovation modifications in the Rotunda completed, except for resolving a quality problem with the decorative bronze ornamentation on the display cases.</li> <li>• Construction of new microfilm research room, research center, and library in the National Archives Building completed.</li> <li>• Installation of two new chillers for HVAC supply completed and construction of new steam tunnel along Constitution Avenue completed.</li> <li>• Cold storage room completed and renovated Presidential Gallery at Eisenhower Library opened.</li> <li>• Construction of Roosevelt Library Visitors Center 86 percent complete.</li> <li>• Phase 1 of renovation and addition project at Ford Museum completed.</li> <li>• Kennedy Library plaza and seawall repair project completed.</li> <li>• 60 percent completion of renovation and addition to the Reagan Library reached.</li> <li>• Construction contract awarded for the Southeast Regional Archives.</li> </ul> |
| <b>FY 2004</b>           | <ul style="list-style-type: none"> <li>• Renovation of the National Archives Building 95 percent completed.</li> <li>• Renovation and expansion of the Reagan Library completed.</li> <li>• Renovation and expansion of the Ford Museum completed.</li> <li>• Construction of Roosevelt Library Visitors Center completed.</li> <li>• Move of Clinton Presidential Materials Project to new library facility completed.</li> <li>• Land for Pacific Alaska Regional Archives acquired.</li> <li>• Study of digitization and facility storage options for long-term preservation of military service records completed.</li> <li>• 75 percent of the construction of the Southeast Regional Archives completed.</li> </ul>   |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"> <li>• Renovation of the National Archives Building completed.</li> <li>• Clinton Presidential Library opened.</li> <li>• Construction of the Southeast Regional Archives completed.</li> <li>• Facility specifications and concept design for military personnel records center in St. Louis completed.</li> <li>• Move plan for military personnel records in St. Louis completed.</li> </ul>   |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"> <li>• Move of Southeast Regional Archives records into new facility completed.</li> <li>• Lease agreement for military personnel records center completed.</li> <li>• 250,000 cubic feet of military personnel records prepared for move to new facility.</li> <li>• Physical access control system at the National Archives at College Park upgraded.</li> </ul>  |

**Data source** Quarterly performance reports to the Archivist.

**Definitions** Appropriate space: storage areas that meet physical and environmental standards for the type of materials stored there. Accession: archival materials whose legal custody is transferred to NARA.

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**Long Range Performance Target 4.2. By 2009, 100 percent of NARA records centers comply with the October 2009 regulatory storage standards.**

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|                                    |  |
|------------------------------------|--|
| <b>FY 05 Estimated Performance</b> | <ul style="list-style-type: none"> <li>• Close Birmingham, AL, Annex.</li> </ul>       |
|                                    | <ul style="list-style-type: none"> <li>• Close Denver, CO, Annex.</li> </ul>           |
|                                    | <ul style="list-style-type: none"> <li>• Close Fort Worth Building 5 Annex.</li> </ul> |

- Complete a lease agreement to construct a records center facility in Fort Worth.
- In coordination with GSA, implement an Energy Saving Operating Plan for the Washington National Records Center.

**FY 06 Projected Performance**

- Issue a Solicitation for Offers for a Denver Regional Records Services facility.
- Complete move into new records center facility in Atlanta.
- Complete move into new records center facility in Perris, CA.

**Outcome** Agency records are preserved for as long as needed.

**Significance** Providing appropriate physical and environmental storage conditions is the most cost-effective means to ensure records preservation. By doing so, we greatly increase the chances of records being available for use by Federal officials and the public for as long as needed.

**Means and Strategies** We published new standards to safeguard Federal records in records centers and other records storage facilities. These standards help ensure Federal records are protected whether they are stored by NARA, another Federal agency, or the private sector.

We work with other Federal agencies to assist them in bringing the records in their facilities under regulatory storage compliance by advising and inspecting their facilities. Examples include Department of Veteran's Affairs, Department of Energy, U.S. Customs and Border Protection, Central Intelligence Agency, Library of Congress, and the Copyright Office. We are working with GSA to develop an Energy Saving Operating Plan for the Washington National Records Center that will allow us to upgrade our HVAC systems to meet new standards while paying for the systems through utility cost savings.

In Fort Worth, GSA has notified NARA that the building housing records center storage for the Fort Worth area must be vacated by the end of FY 2007. In 2004, we developed facility lease requirements for a new records center, and the procurement will start in early FY 2005. We will move staff and records from their present location to the new facility beginning in FY 2007.

**Key external factors** Agencies may choose to store records in non-NARA-controlled facilities.

**Verification and Validation**

| <i>Performance Data</i>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Percent of NARA records center facilities certified as meeting the 2009 regulatory storage standards | —              | —              | —              | 0              |                |                |
| Volume of records center holdings (cubic feet in millions).  | 22.6           | 23.1           | 23.2           | 24.1           |                |                |
| Storage price per cubic foot for records center holdings.  | \$1.96         | \$2.00         | \$2.10         | \$2.16         |                |                |

### *Milestones*

#### **FY 2002**

- New records center storage bay in Lee's Summit and in Dayton completed.

#### **FY 2003**

- Buildout of three new records center storage bays in Dayton completed.
- Additional records center storage space in the Kansas City area acquired.
- Solicitation for Offer and Lease Agreement for a facility to replace the records center in Atlanta executed.
- Market survey of potential records center space in St. Louis area completed.
- Market survey of potential records center space in Southern California area completed.

#### **FY 2004**

- Repair or relocation plans for bringing NARA records centers into compliance with regulatory storage standards developed.
- Shelving completed and moved into new records center facility in Dayton.
- Records center facility at Lenexa expanded and moved records into facility.
- Solicitation for Offer and Lease Agreement for a facility in Southern California to replace the Laguna Niguel records center completed.
- Buildout of three replacement records center bays in Atlanta completed.
- Construction of a new records center facility in Atlanta to replace East Point records center completed.
- Bluegrass Annex in Philadelphia closed.

#### **FY 2005 Estimated**

- Move to new records center facility in Atlanta to replace the East Point records center, and the Palmetto and Birmingham annexes, completed.
- Move to new records center facility in Southern California to replace the Laguna Niguel records center completed.
- Birmingham, AL Annex closed.
- Fort Worth Building 5 Annex closed.
- Energy Saving Operating Plan for the Washington National Records Center developed with GSA.
- Lease agreement to construct a records center storage facility in Fort Worth completed.

#### **FY 2006 Projected**

- Solicitation for Offers for a Denver Regional Records Services facility issued.
- Move into new records center facility in Atlanta completed.
- Move into new records center facility in Perris, CA, completed.

**Data source** Quarterly performance reports to the Archivist.

**Definitions** Appropriate space: storage areas that meet physical and environmental standards for the type of materials stored there.

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### **Long Range Performance Target 4.3. By 2007, 50 percent of NARA's at-risk archival holdings are appropriately treated or are housed so as to retard further deterioration.**

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#### **FY 05 Estimated Performance**

- Appropriately treat or house 43 percent of NARA's at-risk archival holdings so as to retard further deterioration.
- Inventory and rehouse 8 percent of OMPFs.

#### **FY 06 Projected Performance**

- Appropriately treat or house 46 percent of NARA's at-risk archival holdings so as to retard further deterioration.
- Inventory and rehouse an additional 15 percent of OMPFs.

**Outcome** At-risk records are preserved for public use.

**Significance** Providing public access to records for as long as needed requires that we assess the preservation needs of the records, provide storage that retards deterioration, and treat or duplicate and reformat records at high risk for deterioration.

**Means and Strategies** We must preserve paper records and motion pictures, audio recordings, videotapes, still photography, aerial photography, microfilm and other microforms, and maps and charts in a variety of formats in our holdings. To ensure that we meet our strategic goal to preserve our holdings in an appropriate environment for use as long as needed, we continue to work to appropriately treat or house at-risk acetate-based still photography, audio recordings, and motion pictures, and records documenting the service of American's veterans.

At our National Personnel Records Center (NPRC) in St. Louis the records of the service of our 20th-century military veterans require immediate preservation attention. These records comprise more than 3 billion pages in 1.5 million cubic feet of space, and represent the records of more than 56 million service men and women since 1885. Simultaneous to our study of the options for housing the Official Military Personnel Files (OMPFs) and in anticipation of moving the collection, NARA conducted a comprehensive physical needs assessment of the collection during 2003. To ensure both short-term and continuing access to these records, we are implementing a comprehensive preservation management program for these records.

Through FY 2005, the NPRC preservation staff will continue preparation of Multiple Name Pay Vouchers and Payrolls for reformatting to 35mm microfilm and filming the prepped documents. They will also continue treating Army and Air Force OMPFs damaged by the 1973 NPRC fire, especially those damaged by mold and those that were most severely burned. These are part of thousands of feet of microform and paper records that will receive preservation treatment over the next several years.

With the completion of an options study and needs assessment in FY 2004, staff will now focus on developing a project plan to prepare the OMPF collection for a move and to carry out the move itself. A comprehensive move plan is being developed to identify all required actions to move the records from their current locations to a new facility in 2009, to comply with NARA's record center and archival storage standards.

In FY 2005, work will focus on addressing the accessibility and archival storage needs of the oldest, most fragile records. These records, representing slightly more than one percent of the files in the collection, date back to 1885 and contain data about Navy and Marine Corps enlisted personnel who served prior to World War II. With the accessioning of these first 20,000 cubic feet of records in 2004, NARA's archival holdings at St. Louis will gradually expand to include significant volumes of OMPFs and related records.

**Key external factors** Unusually large increases in new at-risk records, such as the recent accessioning of OMPFs, increases in cost of leasing cold storage space, and growing or shifting public demands for the use of at-risk records could delay achievement of performance objectives. Limitations on the availability of appropriate cold storage facilities and commercial treatment labs affect our ability to address audiovisual holdings' requirements.

## **Verification and Validation**

| <b><i>Performance Data</i></b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of cumulative backlog ever treated.</i>                                    | 30             | 32             | 36             | 40             | 43             | 46             |
| Percent of cumulative backlog ever treated.  | 28             | 32             | 35             | 41             |                |                |
| Start-of-year backlog volume of at-risk archival holdings (thousands of cubic feet)                          | 197            | 174            | 188            | 180            |                |                |
| Volume of at-risk archival holdings that received conservation treatment this year (thousands of cubic feet) | 26             | 11             | 17             | 18             |                |                |
| Cumulative volume of at-risk archival holdings in cold storage (thousands of cubic feet).                    | 63             | 67             | 74             | 80             |                |                |
| Percent of start-of-year remaining backlog treated this year.  | 16             | 7              | 9              | 10             |                |                |

### ***Milestones***

#### **FY 2001**

- 100 percent of acetate-based records in the Washington, DC, area transferred to cold storage.
- 15 people hired for the preservation staff at NPRC.
- All 14,500 reels of Air Force Flight Records microfilm at NPRC duplicated.
- 267 cubic feet of Final Pay Vouchers and Payrolls for a reformatting contract at NPRC prepared.

#### **FY 2002**

- Microfilm operation for reformatting Final Pay Vouchers and Payrolls at NPRC implemented.
- Total of 1,118 cubic feet of Final Pay Vouchers and Payrolls prepared for reformatting at NPRC.

#### **FY 2003**

- Risk assessment of OMPFs performed.

#### **FY 2004**

- Analysis of OMPF risk assessment completed.
- 4 staff hired to prepare move preparation plan and actual move plan for OMPFs.
- OMPF move preparation plan completed.

#### **FY 2005 Estimated**

- 8 percent of OMPFs inventoried and rehoused.

#### **FY 2006 Projected**

- Additional 15 percent of OMPFs inventoried and rehoused.

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**Definitions** At-risk: records that have a media base near or at the point of deterioration to such an extent that the image or information in the physical media of the record is being or soon will be lost, or records that are stored on media accessible only through obsolete technology.

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**STRATEGIC GOAL 5 NARA STRATEGICALLY MANAGES AND ALIGNS STAFF, TECHNOLOGY, AND PROCESSES TO ACHIEVE OUR MISSION.**

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- Long Range Performance Targets**
- 5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.
- 5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.
- 5.3. By 2007, NARA accepts 100 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.
- 5.4. By 2008, all public network applications are available 99.9 percent of the time.

**FY 2003 Resources Available to Meet This Goal:** \$29,587,000; 127 FTE  
**FY 2004 Resources Available to Meet This Goal:** \$33,563,000; 129 FTE  
**FY 2005 Resources Available to Meet This Goal:** \$35,487,000; 130 FTE  
**FY 2006 Resources Requested to Meet This Goal:** \$40,347,000; 132 FTE

| <b>FY 2005 Budget Linkage</b>   | <b>Records Services</b> | <b>Archives Related Services</b> | <b>Electronic Records Archives</b> | <b>Archives II Facility</b> | <b>Revolving Fund</b> | <b>Trust Fund</b> | <b>NHPRC</b> | <b>Repairs &amp; Restoration</b> |
|---|-------------------------|----------------------------------|------------------------------------|-----------------------------|-----------------------|-------------------|--------------|----------------------------------|
| 5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.   | ✓                       | ✓                                |                                    |                             | ✓                     |                   |              |                                  |
| 5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.    | ✓                       | ✓                                |                                    |                             | ✓                     |                   |              |                                  |
| 5.3. By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the <i>Federal Register</i> . |                         | ✓                                |                                    |                             |                       |                   |              |                                  |
| 5.4. By 2008, all public network applications are available 99.9 percent of the time.   | ✓                       | ✓                                |                                    |                             | ✓                     |                   |              |                                  |

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**Long Range Performance Target 5.1. By 2008, the average time a leadership position remains unfilled is 30 days or less.**

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- FY 05 Estimated Performance**
- Expand management trainee program to 4 additional NARA records centers.
  - Fill leadership positions in an average time of 80 days or less.

- Complete pilot course on interview skills and techniques.
- Revise system for tracking and monitoring the timeliness of recruitment actions.
- Revise supervisors' performance plans to establish accountability for timely recruiting and selection.
- Maintain 95 percent of staff development plans linked to strategic outcomes.
- Maintain 95 percent of employee performance plans linked to strategic outcomes.

#### **FY 06 Projected Performance**

- Expand management trainee program to additional NARA records centers.
- Fill leadership positions in an average time of 70 days or less.
- Create a workforce planning process that enables managers to better plan recruiting for leadership and other positions.
- Maintain 95 percent of staff development plans linked to strategic outcomes.
- Maintain 95 percent of employee performance plans linked to strategic outcomes.
- Conduct organizational impact study to consider changes to organizational structure and training needs as a result of long-range improvements to NARA workflows (see 1.3).

**Outcome** The public perceives no decline in NARA programs and services due to turnover in leadership positions.

**Significance** To ensure we can achieve our mission and strategic goals we must be able to recruit, retain, and develop high-performing staff for key leadership positions.

**Means and Strategies** Having the internal staff capabilities to carry out the strategies in this Strategic Plan is vital to the success of the plan and the achievement of our mission. Like other Federal agencies, NARA is facing potentially large turnover in senior leaders and specialized expertise over the next several years. To ensure that this personnel change does not create a debilitating "brain drain" we must implement mechanisms to attract, develop, and nurture new agency leaders at all levels. To do this, we have created an agency leadership competency model, and have begun working on management development curricula based on the competencies. We will also create a succession planning process for senior levels and critical positions, create management trainee programs to meet specific office needs, leverage the individual development plan process to grow new leaders, and include employee development as an element in all senior manager performance plans.

We have launched a new initiative to develop the next generation of records center managers throughout NARA's Records Center Program. The management intern program is a three-year program for selected interns, providing them with training, increasingly complex work assignments in a variety of records center positions, a rotation through other NARA operations, and assignment to special projects. Throughout this program, interns are closely mentored by other NARA professionals. The program rolled out to 4 records centers in FY 2004, and will expand to 4 more in FY 2005 and additional centers in FY 2006. We are looking at other NARA offices that are large enough to sustain and could benefit from a similar management trainee program in FY 2006 and beyond.

We will place a special emphasis on leadership in the context of our records lifecycle and electronic records business transformation effort. As NARA's business transforms, our staff must also transform. To assist us in this effort, in FY 2006, we will complete an organizational impact study in which we will examine our current organizational structures to determine whether or not they are sufficient to support the work of the agency moving forward. Where we find that existing structures are insufficient, we will propose alternative organizational structures and develop, in consultation with NARA staff and the labor union, detailed reorganization plans and timeframes for implementation. As workflows and organizational structures are finalized, we will also analyze position structures both within and across organizational units to determine whether the positions we have today are the positions we need for tomorrow. As a result of this multi-year effort, we will be able to develop new competency models and performance standards for positions undergoing change, assess the competencies of existing staff and conduct gap analyses, and, develop both short- and long-term strategies to bridge those gaps.

### **Verification and Validation**

| <i><b>Performance Data</b></i>   | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for average time (in calendar days) to fill a leadership position</i>                              | —              | —              | —              | 80             | 70             |
| Average time (in calendar days) to fill a leadership position  | —              | —              | 90             |                |                |
| <i>Performance target for percent of staff having performance plans that link to strategic outcomes</i>                  | 95             | 95             | 95             | 95             | 95             |
| Percent of staff having performance plans that link to strategic outcomes.   | 80             | 93             | 91             |                |                |
| Number of staff having performance plans that link to strategic outcomes.  | 2,473          | 2,843          | 2,781          |                |                |
| <i>Performance target for percent of permanent staff having staff development plans that link to strategic outcomes.</i> | 50             | 95             | 95             | 95             | 95             |
| Percent of permanent staff having staff development plans that link to strategic outcomes.                               | 1              | 91             | 53             |                |                |
| Number of permanent staff having staff development plans that link to strategic outcomes.                                | 7              | 2,400          | 1,400          |                |                |
| Number of permanent staff.   | 2,708          | 2,647          | 2,663          |                |                |

### ***Milestones***

#### **FY 2001**

- Written guidance on linking employee performance plans to Strategic Plan issued.

#### **FY 2004**

- Project plan for redesigning NARA's existing recruiting strategies and procedures developed.
- Leadership competency model developed.
- Management trainee program implemented in 4 records centers.

#### **FY 2005 Estimated**

- Management trainee program expanded to 4 more records centers.
- Pilot course on interview skills and techniques completed.



- System for tracking and monitoring the timeliness of recruitment actions revised.
- Supervisors' performance plans revised to establish accountability for timely recruiting and selection.

**FY 2006 Projected**

- Management trainee program expanded to additional records centers and other program offices.
- Workforce planning process that enables managers to better plan recruiting for leadership and other positions created.
- Organizational impact study conducted to consider changes to organizational structure and training needs as a result of long-range improvements to NARA workflows (see 1.3).

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist. Targets for maintaining staff performance plans and development plans linked to strategic outcomes take into account personnel changes that routinely occur, during which personnel may not have updated plans that relate to their new duties. Because of continuous personnel changes there will always be less than 100 percent linkage.

**Definitions** Staff development plan: an individualized plan to enhance employees knowledge, skills, and abilities, and to improve performance in their current jobs or of duties outside their current jobs in response to organizational needs and human resource plans. Leadership position: a supervisory position at grade GS-13 or above and non-supervisory positions at grade 15 or above.

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**Long Range Performance Target 5.2. By 2007, the percentages of NARA employees in underrepresented groups match their respective availability levels in the Civilian Labor Force.**

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**FY 05 Estimated Performance**

- Ensure the percentages of NARA employees in underrepresented groups match 80 percent of their respective availability levels in the Civilian Labor Force.
- Increase the percentage of people in underrepresented groups in pools of applicants from which to select candidates for positions in grades 13 and above over the percentage in FY 2004.

**FY 06 Projected Performance**

- Ensure the percentages of NARA employees in underrepresented groups match 90 percent of their respective availability levels in the Civilian Labor Force.
- Increase the percentage of people in underrepresented groups in pools of applicants from which to select candidates for positions in grades 13 and above over the percentage in FY 2005.

**Outcome** NARA customer service to all segments of American society improves because the workforce mirrors the society we serve.

**Significance** A diverse workforce enhances our agency by ensuring that we can draw on the widest possible variety of viewpoints and experiences to improve the planning and actions we undertake to achieve our mission and goals. By promoting and valuing workforce diversity, we create a work setting where these varied experiences contribute to a more efficient and dynamic organization and employees can develop to their full potential.

**Means and Strategies** Training in diversity is a critical step for creating an understanding of the value of diversity and ensuring its integration into our organization. We also are focusing on improving our performance in hiring and promoting people in underrepresented groups by continuing our efforts to expand recruiting techniques, collecting and analyzing pertinent personnel management data, and implementing staff development programs.

**Key external factors** Achievement of this target depends on qualified people in underrepresented groups applying for positions at NARA.

#### **Verification and Validation**

| <b><i>Performance Data</i></b>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|--|----------------|----------------|----------------|----------------|----------------|----------------|
| Percent of employees who have received diversity training.   | 27             | 58             | 72             | 68             |                |                |
| <i>Performance target for percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.</i> | 64             | 75             | 94             | 98             | 99             | 100            |
| Percent of applicant pools for positions at grades GS-13 and above that contain people in underrepresented groups.                               | 74             | 85             | 97             | 98             |                |                |
| Number of applicants for positions at grades GS-13 and above.  | —              | 1,779          | 1,177          | 1,270          |                |                |
| Number of applicant pools for positions at grades GS-13 and above.   | 53             | 101            | 85             | 99             |                |                |
| Number of pools for positions in grades GS-13 and above that had self-identified applicants in protected classes.                                | 39             | 86             | 83             | 97             |                |                |
| <i>Percent of Civilian Labor Force rate used to determine if underrepresented groups met employment target.</i>                                  | 50             | 60             | 65             | 70             | 80             | 90             |
| Underrepresented groups of employees meeting target (checkmark indicates target met or exceeded)   |                |                |                |                |                |                |
| —Women   | ✓              | ✓              | ✓              | ✓              |                |                |
| —Black   | ✓              | ✓              | ✓              | ✓              |                |                |
| —Latino-Hispanic   |                |                |                |                |                |                |
| —Asian American/Pacific Islander   | ✓              | ✓              | ✓              | ✓              |                |                |
| —American Indian/Alaskan Native  |                | ✓              | ✓              | ✓              |                |                |
| —Targeted disability   | ✓              | ✓              | ✓              | ✓              |                |                |

**Data source** Performance Measurement and Reporting System and semi-annual reports to the Archivist.

**Definitions** Applicant: anyone who has applied for a specific position; Underrepresented groups: groups of people tracked by the U.S. Equal Employment Opportunity Commission: Minority groups (Black, Latino-Hispanic, Asian/Pacific Islander, and American Indian/Alaskan Native); Women; People with Disabilities.

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**Long Range Performance Target 5.3.** By 2007, NARA will accept 100 percent of the validated legal documents submitted electronically for publication in the *Federal Register*.

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**FY 05 Estimated Performance**

- Accept validated legal documents submitted electronically for publication in the *Federal Register* from 12 agencies.

- Manage 50 percent of all *Federal Register* documents electronically using eDOCS.

#### **FY 06 Projected Performance**

- Accept validated legal documents submitted electronically for publication in the *Federal Register* from all agencies.
- Manage 80 percent of all *Federal Register* documents electronically using eDOCS.

**Outcome** Publication of documents in the *Federal Register* is easier and more cost-effective for Federal agencies, and the public can obtain these documents easier and faster.

**Significance** We publish the *Federal Register*, the *Code of Federal Regulations*, and related publications, which contain information essential to the life, health, safety, and defense of the citizens of the United States and of our businesses, legal system, and Government. Informing citizens of their rights and legal responsibilities is one of our critical ongoing responsibilities.

**Means and Strategies** Technological developments in the publishing world have expanded publication options available for *Federal Register* materials, while developments in consumer technology have increased the number and the availability of public access points to published materials. Meanwhile, Federal agencies have rapidly increased their ability to operate in an electronic information environment. The resulting possibilities for enormously increased access and for significantly improved operational efficiencies demand that taxpayer-financed publishing systems, like the *Federal Register* system, incorporate the new technologies. As online *Federal Register* publications assume primacy among available formats, surveys show that users are demanding that we employ the capabilities of new technologies to provide more frequent revisions of the *Code of Federal Regulations* (CFR) and better reference tools for using the publications. Federal agencies that submit documents for publication also want us to permit the electronic submission of documents. And the Government Paperwork Elimination Act requires agencies to develop the capacity for electronic commerce by 2003.

In FY 2003 we completed testing and accepted for deployment our new electronic editing and publishing system, eDOCS. In partnership with other agencies involved in OMB's online rulemaking initiative, we also provided an online means (at *regulations.gov*) for the public to have access to, and provide comments on, all rules and proposed rules published in the *Federal Register* and open for public comment, a first step toward electronically integrating the various stages of the rulemaking lifecycle. In FY 2004, we began a phased deployment of eDOCS into our production processes to produce the daily *Federal Register*. This involves accepting electronic *Federal Register* document submissions for the first time, the commencement of the electronic commerce required under GPEA. In FY 2005, we will continue to improve and enhance the new system and rollout the e-commerce functionality of eDOCS to a total of 12 agencies, and to all agencies in FY 2006. We also will continue to participate in the development of online rulemaking and interagency process integration. These efforts presume that we continue our successful partnership with the Government Printing Office (GPO) and involve GPO officials in planning the ongoing use of the eDOCS system and the *regulations.gov* web site.

**Key external factors** We do not control the volume of work for which we are responsible or the timing of submissions. We do not print or distribute our publications, and we depend on GPO to provide common hardware and software for publishing. GPO also controls the process by which our publications are put online on GPO Access. Significant changes in our workload would occur if support from GPO

were decreased or withdrawn. The decisions of EPA, as the lead partner in the online rulemaking initiative, have a significant impact on the creation of *Federal Register* document templates and the architecture of the *regulations.gov* web site. Successful government-wide electronic commerce remains dependent upon the resolution of issues surrounding government-wide digital signature standards and an electronic public key infrastructure.

### **Verification and Validation**

| <b><i>Performance Data</i></b>  | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| <i>Performance target for percent of documents Federal Register manages electronically using eDOCS.</i> | —              | —              | —              | —              | 50             | 80             |
| Percent of documents <i>Federal Register</i> manages electronically using eDOCS.                        | —              | —              | —              | 9              |                |                |
| Number of documents NARA manages electronically using eDOCS.  | —              | —              | —              | 1,513          |                |                |
| Number of documents published in the <i>Federal Register</i> .  | 32,036         | 33,055         | 32,066         | 14,145         |                |                |
| Number of documents submitted for publication electronically.   | —              | —              | —              | 1,250          |                |                |
| Percent of documents submitted for publication electronically.  | —              | —              | —              | 9              |                |                |
| Number of public inspection documents available to the public electronically.                           | —              | —              | —              | 3,544          |                |                |
| Number of rulemakings open for comment successfully retrieved at <i>regulations.gov</i> .               | —              | —              | 370,861        | 166,212        |                |                |
| Number of official <i>Federal Register</i> documents retrieved online (in millions)                     | 163            | 150            | 160            | 175            |                |                |

### ***Milestones***

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|--------------------------|---|
| <b>FY 2001</b>           | <ul style="list-style-type: none"> <li>• Study completed and design and cost estimates delivered. Statement of work prepared for Phase II, installation and testing of electronic editing and publishing system.</li> </ul>   |
| <b>FY 2002</b>           | <ul style="list-style-type: none"> <li>• Contractor efforts to build, install, and test an electronic editing and publishing system 75 percent complete.</li> </ul>   |
| <b>FY 2003</b>           | <ul style="list-style-type: none"> <li>• Testing and acceptance of electronic editing and publishing system completed.</li> <li>• <i>Regulations.gov</i> launched.</li> </ul>   |
| <b>FY 2004</b>           | <ul style="list-style-type: none"> <li>• eDOCS deployed into <i>Federal Register</i> production.</li> <li>• Validated legal documents submitted electronically for publication in the <i>Federal Register</i> from 3 agencies accepted.</li> </ul>  |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"> <li>• Validated legal documents submitted electronically for publication in the <i>Federal Register</i> from 12 agencies accepted.</li> </ul>  |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"> <li>• Validated legal documents submitted electronically for publication in the <i>Federal Register</i> from all agencies accepted.</li> <li>• Continuity of Operations Plan (COOP) for NARA to establish appropriate alternate sites for publication of <i>Federal Register</i> developed.</li> </ul> |

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

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**Long Range Performance Target 5.4. By 2008, all public network applications are available 99.9 percent of the time.**

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**FY 05 Estimated Performance**

- Public network applications are available 97.0 percent of the time.
- Upgrade physical security of NARA's computer infrastructure at 50 percent of NARA locations.
- Implement an enterprise repository for NARA's Enterprise Architecture and associated IT documentation.
- Complete development of an enterprise-wide disaster recovery plan and an enterprise-wide continuity of operations plan.

**FY 06 Projected Performance**

- Public network applications are available 98 percent of the time.
- Upgrade physical security of NARA's computer infrastructure at remaining NARA locations.

**Outcome** NARA information and services are accessible to the public 24 hours a day.

**Significance** Dramatic increases in computer interconnectivity, especially in the use of the Internet, continue to revolutionize the way our Government, our nation, and much of the world communicate and conduct business. Our customers expect information and services to be available when they need them. However, this widespread interconnectivity poses significant risks to the Government's computer systems and the critical operations they support. The speed and accessibility, as well as the other enormous benefits of the computer age, if not properly controlled, allow individuals and organizations to interfere with critical operations for mischievous or malicious purposes. Reliable performance and security our public network applications is essential to ensuring that customer expectations for access to our information and services can be met.

**Means and Strategies** The authenticity and reliability of our electronic records and information technology systems are only as good as our information technology (IT) security infrastructure. We must ensure the security of our data and our systems or we risk undermining our agency's credibility and ability to carry out our mission and the Government's ability to document the results of and accountability for its programs. IT security becomes even more critical as we increase our visibility through the implementation of electronic government initiatives that expand online services to the public. The more we increase electronic access to our services and records, the more vulnerable we potentially are to intrusions, viruses, privacy violations, fraud, and other abuses of our systems.

In FY 2003 we began the work to build and sustain an ongoing, comprehensive IT security program that will ensure the integrity and safety of our data and systems. We are making IT security an integral part of the architectural review process for all new project designs so that IT security issues will be considered throughout a project's lifecycle, and we are implementing a continuing security awareness and training

program for employees. We are working to ensure that NARANET perimeter defenses, access control, remote access, incident response capability, and system security configurations will be consistent with accepted guidelines. NARA information systems are undergoing risk assessments and security certification so that they can be formally accredited for operation on the NARA network.

In FY 2004, we enhanced perimeter defenses, access control, remote access, incident response capability, and system security configurations, and update them to be consistent with revised National Institute of Standards and Technology (NIST) guidelines. Also, we refined our information system risk assessments and certifications, and established an IT Security Risk Management Plan. Finally, we have expanded and refined our agency-wide disaster recovery processes and then exercised these processes.

Consistent with our Strategic Plan, we must implement policies and standards that facilitate development of an integrated, agency-wide information infrastructure to manage comprehensively all the data we use in our daily operations. We are doing this by creating a mature data administration program focused on improving data quality and reliability, increasing data sharing, and controlling data redundancy for all of NARA's information systems. In FY 2002 we began using an agency-wide data model and developing requirements for a data repository for our agency-wide data. In FY 2003 we demonstrated a prototype for NARA's Enterprise Information Technology Repository (NEITR), and in FY 2004 we began the pilot phase with the development of the System Design Specifications to include updates to the System Requirements Specification. By FY 2005, we will be ready to implement NEITR.

**Key external factors** Constantly evolving hardware and software changes make it difficult to accommodate growth while ensuring the minimum performance levels on existing systems.

### **Verification and Validation**

| <i>Performance Data</i>   | <b>FY 2001</b> | <b>FY 2002</b> | <b>FY 2003</b> | <b>FY 2004</b> | <b>FY 2005</b> | <b>FY 2006</b> |
|---|----------------|----------------|----------------|----------------|----------------|----------------|
| Percent of public network availability.                                   | 99.9           | 99.9           | 99.9           | 100            |                |                |
| <i>Performance target for percent availability of public applications</i> |                |                |                | 96.5           | 97             |                |
| Percent of public network applications availability                       | —              | —              | —              | 98.5           |                |                |
| Number of total hours that any public network application was unavailable | —              | —              | —              | 1,047          |                |                |
| Number of network users for public applications (in millions)             | —              | —              | —              | 4.4            |                |                |
| Cost per network user for public applications                             | —              | —              | —              | \$0.29         |                |                |

### ***Milestones***

#### **FY 2002**

- Use of an agency-wide data model in the development of IT systems implemented.
- 10 percent of the NARA information systems for operation on our network certified secure and accredited.
- Requirements for an enterprise repository for NARA's agency-wide data model and associated IT documentation developed.
- New phone system in College Park and the *Federal Register*, part of a larger telecommunications upgrade throughout NARA's facilities, installed.

#### **FY 2003**

- 96 percent of the NARA information systems for operation on our network certified secure and accredited.
- Prototype of an enterprise repository for NARA's Enterprise Architecture and associated IT documentation substantially developed.
- Telecommunications upgrades continued for NARA locations outside of College Park and the *Federal Register*.

- |                          |   |
|--------------------------|---|
| <b>FY 2004</b>           | <ul style="list-style-type: none"> <li>• Enterprise repository for NARA's Enterprise Architecture and associated IT documentation piloted.</li> <li>• Improved agency-wide disaster recovery processes and mechanisms implemented.</li> <li>• Telecommunications upgrade complete except for Atlanta and Archives I.</li> </ul>   |
| <b>FY 2005 Estimated</b> | <ul style="list-style-type: none"> <li>• Physical security of NARA's computer infrastructure at 50 percent of NARA locations upgraded.</li> <li>• Enterprise repository for NARA's Enterprise Architecture and associated IT documentation implemented.</li> <li>• Development of an enterprise-wide disaster recovery plan and an enterprise-wide continuity of operations plan completed.</li> <li>• Telecommunications upgrade completed.</li> </ul> |
| <b>FY 2006 Projected</b> | <ul style="list-style-type: none"> <li>• Physical security of NARA's computer infrastructure at remaining NARA locations upgraded.</li> </ul>   |

**Data source** Performance Measurement and Reporting System and quarterly performance reports to the Archivist.

**NARANET:** a collection of local area networks installed in 34 NARA facilities that are connected to a wide area network at Archives II, using frame relay telecommunications, and then to the Internet. NARANET includes personal computers with a standardized suite of software. NARANET was designed to be modular and scalable using standard hardware and software components.